DFID Natural Resources Systems Programme

Workshop Proceedings

NRSP's strategic experience of participatory methods and processes for the improvement of natural resources management

October 2002

Natural Resources Systems Programme

NRSP's strategic experience of participatory methods and processes for the improvement of natural resources management

Proceedings of an NRSP Workshop

held at

University of Reading, UK
Whiteknights Park Campus

7-8 September 2002

October 2002

PREFACE

In July 2002, it became apparent that there was an opportunity for NRSP to hold a workshop over the weekend of 7-8 September 2002. Participants, from the UK and overseas, were from the research teams of certain NRSP projects that have developed and tested participatory methods in the context of their potential use in strategies for improving NR management. Purposely the workshop was kept small with a planned attendance of about 20 persons.

The workshop aimed to enable participants to share experiences in an interactive way, extract new/special learning for mutual interest and benefit to on-going projects and to explore if there are some areas worthy of more extended interaction.

The rationale for holding the workshop was as follows: Various completed and on-going NRSP projects have developed and used participatory methods and processes to identify and test new strategies for natural resources management (NRM) that can enable poorer people to improve their livelihoods. Whilst there are interesting contrasts between these projects, in respect of what the participatory mode of conducting research seeks to achieve for NRM, and in the main features of the methods and processes used, they have one common feature. The mode of participatory working forms part of what the projects have or will promote as a research product, that could be applied by development practitioners (rather than NR researchers). In this way, the structured inclusion of participation is an important factor in the development of new strategies for NR management, which, when scaled up, could result in wider, sustainable (and pro-poor) improvement of NRM.

It was recognised that there is considerable literature on participatory methodologies. This leads to the question of what new findings and ideas does NRSP have to offer? It was thought that there were three areas where we might contribute:

- Firstly, through some of our projects, we have findings on using participation as a means of achieving sustainable change in the complex area of people and their access to, and use of, natural resources in their livelihood strategies. We have embedded participation in systems research and have findings on what participation can and cannot contribute in the development of pro-poor NRM strategies.
- Secondly, we have not used participation solely as a means to another end (e.g., development and/or refinement of a technology). Rather we have treated its use as a research assignment of itself and have sought to record and analyse this mode of working in the context of its wider (scaled up) application in development.
- Thirdly, and linked with point 2, we have worked in varying institutional contexts with respect to the target institutions for project outputs on participation, including NGOs, GOs and PVOs.

In addition to the above, although all projects concern NRM, each project has its own NRM context. There was, therefore, the potential to use 'compare and contrast' as a means of extracting both common and dissimilar findings, and the circumstances/reasons for these. Moreover, experiences in both the communication of findings and progress of the wider integration of participation into development planning could be shared.

With this background reasoning in mind, the workshop programme (refer Annex A) had three parts – project presentations (with a request to address six questions/topics); working group discussions addressing certain questions; a final plenary discussion that focused on two additional questions – all to be covered in just one and a half days.

The proceedings that are reported here are more or less a 'blow by blow' account of the workshop. With the aim of returning a record of the workshop to the participants as quickly as possible, the questions and answers on presentations, and the run of the discussion of specific working group/plenary questions are reported with a minimum of editing. It is hoped that the report will be useful reference material for the participants. Also, for those that may consult this report who did not attend the workshop, the contents provide both a record of what the use of, and research on, participatory methods entails and what issues and challenges have to be faced for the integration of participation into pro-poor NR management strategies.

Dr FM Quin
NRSP Programme Manger
4 October 2002

WORKSHOP PARTICIPANTS

Back row, left to right:

Stuart Coupe, Prakash Bhat, Barnaby Peacocke, KV Subrahmanyam, Olivia Agbenyega, US Gautam, D Subrahmanyam, AK Sikka, John Gaunt, Geophrey Kajiru, Bianca Ambrose-oji, Pascal Sanginga, Roger Lewins, Iftekhar Chaudhury.

Front row, left to right:

Adrienne Martin, Margaret Quin, Tahseen Jafry, Pat Norrish, Korsi Ashong, Rebecca Radford, Johannes Awudza, Faruk ul Islam, MS Ashok.

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1. WORKSHOP SESSION 1: OVERVIEW AND PROJECT PRESENTATIONS

1.1 Programme overview – FM Quin, NRSP Programme Manager

CONTEXT

NRSP's purpose:

"To deliver new knowledge that enables poor people who are largely dependent on the NR base to improve their livelihoods"

Slide 1
The programme's purpose is a simple statement which certainly captures what NRSP is aiming to achieve. However, when this is 'unpacked' in order to make decisions on research priorities, in relation to the management of natural resources, complexities and challenges emerge in regard of what types of research are needed and the main design features of this research.

Measures for the attainment of this purpose:

(By March 2005)

Use of new knowledge by:

- poor people themselves
- institutions supplying services to the poor
- employers of the poor
- policy makers

These OVIs define NRSP's impact

Slide 2
The OVIs at purpose level in the programme logframe go into more detail than is shown in the slide, providing some measures of the 'quantity' of use that should be attained by poor people, service providers, employers etc in target countries and elsewhere.

An important aspect of these OVIs is that they define NRSP's impact and in this way provide a guideline for where and with whom each project in NRSP's portfolio should seek to achieve change.

What does the 'new knowledge' comprise?

• Looking across all past, current and planned projects – NRSP generates knowledge on 10 great themes

• 8 apply to the portfolio since April 1999
• 2 apply to pre-April 1999

• The themes are the main topics on which NRSP generates new knowledge for transacting pro-poor change in natural resources management (NRM)

• *Not uncommonly a project will address more than one theme*

Slide 3
The next step is to 'unpack' the term 'new knowledge'. What is the scope of the new knowledge that NRSP generates?

Considering the portfolio since the programme began, we have identify 10 great themes, of which 8 concern the portfolio since April 1999 when NRSP re-oriented its natural resources management research to address DFID's policy priorities of poverty reduction and livelihood improvement.

Themes do not rigidly define a project's purpose. Rather they tend to address a certain theme or themes. Quite commonly, a project covers more than one theme.

Theme 7:

New knowledge about participation in decision-making processes affecting the use and management of natural resources

Do we have new knowledge? If we do –

- **For whom, how and through what media should we communicate this new knowledge?**
- **What are the priorities?**
- **What are our key contributions**

Slide 4

For the purposes of this workshop, there is no need to give details of all the themes.

The one who need to look at is theme 7 (as shown in the slide).

And in relation to this, we can pose some critical questions (as shown on the slide), not least because there is such a vast amount of published literature on participation.

A check list of the web sites and documents that the NRSP programme manager looked at (in varying levels of detail) is included in the workshop folder.

What does participation look like in NRSP's pro-poor NRM research?

It takes three main forms:

1. Use of a participatory method in a research project

2. Participation as an integral part of research methodology (with learning achieved on this)

3. Research on/around participation with the aim of delivering learning on how it can be an integral component of transacting pro-poor developmental change (in NRM)

Slide 5

Turning to the portfolio of research projects, research that involves participation has three main forms.

These are summarised in the slide.

Some examples:

***1** – using* → **Several projects in the pre-April 1999 portfolio**

Example in current portfolio:

R8115 in Tanzania, improving soil fertility management in Tanzania

***2** – testing for use in research* →

R7446 in Ghana and R7412 in Nepal

Both projects are using (and refining) Participatory Technology Development

R7830 in India has a PTD component

Slide 6

We can examine each form in more detail, drawing on examples from the current portfolio (and we have team members of some of these projects present at this workshop).

Examples for forms 1, 2 and 3 are provided in this slide and the one that follows. This workshop focuses on form 3.

3 – testing for use in development

Main emphasis of this workshop:

R7559 – Pro-livelihood alternatives to Marine Protected Areas in the Caribbean

R7856 – Strengthening social capital for NRM (in Uganda)

R7839 – Community-based institutions for improving livelihoods through opportunities for improved NRM (in Bihar & Uttar Pradesh, India)

R7959/R8084 & R7995/R8090 – Participatory action plan development (PAPD) and implementation for livelihood improvement at the peri-urban interface (Hubli-Dharwad, India & Kumasi, Ghana)

R7562 & R8103 – Development of a consensus building methodology for PAPD leading to testing of the CBM PAPD methodology for transacting change in NRM (in the Bangladesh floodplain)

R7408 – Trade-off analysis methodology (for consensus building for coastal management). (Research undertaken in Tobago, West Indies)

R7150 – Use of trade-off analysis for CPR management where tourism, wildlife and pastoralism interact in Kenya

Slide 7

The text with the project reference number is not necessarily the title of the project. Rather it briefly summarises what the use of participation is aiming to achieve.

This breakdown of three forms of participation, as found in NRSP's projects, can be aligned with the published typologies for participation. The table at the end of this presentation shows these typologies and indicates the alignment of NRSP's projects.

Some questions and issues to consider? Has NRSP generated new knowledge in certain areas?

- Going beyond 'they are all poor'. Are we reaching poor marginalised people? Did we find a way to enable them to have a voice in NRM?
- If yes – how was this done?
- Can we provide robust or less robust insights on the processes and methodologies for this?
- How do we record, analyse and evaluate?
- How do we assess sustainability of the Ps & Ms?
- With whom and how do we communicate our findings?

Slide 8

As we move into project presentations, the discussions relating to these and then the working group sessions, we will, I think, be challenging ourselves with certain questions. The list (in the slide) is not intended to be exhaustive, but it is developed, from a management viewpoint, of some of the areas that projects are tackling or are trying to come to terms with in their research.

[Ps & Ms indicates processes and methods]

From research to development for pro-poor NRM:

- Scalability?
- Are we working at a scale that is relevant to development?
- Can we demonstrate favourable change?
- What indicators have we used?

Slide 9

Also because we are focused on 'form 3' of the earlier slide (refer slide 5: research on/around participation with the aim of delivering learning on how it can be an integral component of transacting pro-poor developmental change (in NRM), there some important additional considerations around the progression from research to a developmental mode of working.

These are listed on the slide.

To conclude - look again at Theme 7:

New knowledge about participation in decision-making processes affecting the use and management of natural resources

What distinctive new knowledge do we have from NRSP's research projects?

Slide 10

Finally, linking back to the issue of the vast amount of published materials on participation, we should assess what distinctive new knowledge NRSP is producing especially with respect to the focus of how participation can assist the development of pro-poor NRM strategies that are sustainable over time.

A typology of participation (slide not shown, ★ denotes NRSP emphases)

Typology	Characteristics of each type
1. Passive participation	People participate by being told what is going to happen or has already happened. It is a unilateral announcement by an administration or project management without listening to people's responses. The information being shared belongs only to external professionals.
2. Participation in information gathering	People participate by answering questions posed by extractive researchers using questionnaire surveys or similar approaches. People do not have the opportunity to influence proceedings, as the findings of the research are neither shared nor checked for accuracy.
3. Participation by consultation	People participate by being consulted, and external people listen to views. These external professionals define both the problems and solutions, and may modify these in the light of people's responses. Such a consultative process does not concede any share in decision making and professionals are under no obligation to take on board people's views.
4. Participation for material incentives	People participate by providing resources, for example labour, in return for food cash, or other material incentives. Much on-farm research falls in this category as farmers provide the fields but are not involved in the experimentation or the process of learning. It is very common to see this called participation, yet people have no stake in prolonged activities when the incentives end.
5. Functional participation ★★	People participate by forming groups to meet predetermined objectives related to the project, which can involve the development or promotion of externally initiated social organisation. Such involvement does not tend to be at early stages of project cycles or planning, but rather after major decisions have been made. These institutions tend to be dependent on external initiators and facilitators, but may become self dependent.
6. Interactive participation ★★	People participate in joint analysis, which leads to action plans and the formation of new local institutions or the strengthening of existing ones. It tends to involve interdisciplinary methodologies and structured learning processes. These groups take control over local decisions and so people have a stake in maintaining structures or practices.
7. Self-mobilisation	People participate by taking initiatives independent of external institutions to change systems. They develop contacts with external institutions for resources and technical advice they need, but retain control over how resources are used. Such self-initiated mobilisation and collective action may or may not challenge existing inequitable distributions of wealth and power.

Source: Source: Pretty (1994) adapted from Adnan et al (1992) as presented in Pretty J.N., Guijt I., Thompson J., Scoones I (1995) A Trainer's Guide to Participatory Learning and Action, IIED Participatory Methodology Series. London: IIED

The project presentations for the 'Participation' workshop mainly align with typologies no's 5 and 6 above. These are marked ★ ★. NRSP projects using Participatory Technology Development (PTD) are a more participative version of typology 4, in that people do assess technologies and can take from them what is of interest to them. Several projects in the past and current portfolio use typology 3 in their pre-project and/or inception phases.

1.2 R7856 – Strengthening social capital for NRM (in SW Uganda) by P Sanginga

Slide 1

Strengthening Social Capital for improving Policies and Decision-making in NRM

R7856

Pascal Sanginga (AHI-CIAT)

A. Martin (NRI) and F. Place (ICRAF)

with contributions from colleagues and FARMERS in Kabale, Uganda

Slide 2

- Sites: Kabale District, Southwestern Highlands of Uganda

Slide 3

AHI thrust:

Community-based participatory research approaches to solve land degradation and improve rural livelihoods in the highlands of Eatern Africa

Today's talk:

Participatory Methods and Processes:

Lessons and Scaling Up strategies

Farmer Research Groups

- Ensure that more people participate, making PR relevant to the needs of different categories of farmers
- Ensure that the risk is shared and not borne by individuals,
- It is also a decentralised process focusing also on PROCESS rather than technology alone
- Can therefore empower local people and groups to make effective demands on research, extension services and POLICY

Slide 4

Our Framework:

Quality of Participation *(PRGA-CIAT 2000):*

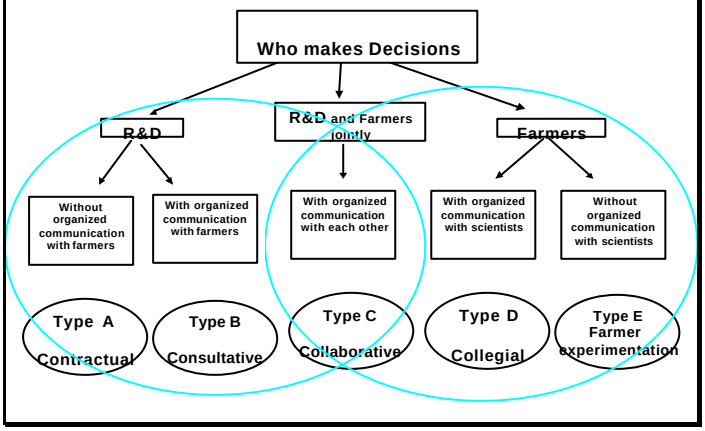
"Quality"= Special or distinguishing features of participatory research process, and not how good or bad participation is

Three dimensions of Participation :

- WHY do Participatory Research? Aims and Objectives: Functional and Empowering
- WHAT you do? Building Blocks (analytical variables to describe PR)
- HOW you do it? Management principles (methods, tools, behaviours and skills, quality criteria)

Slide 5

What Types of Participatory Research?



Slide 6

The left hand oval contains types of participation that are less inclusive of intended beneficiaries. The right hand oval contains types that are intended to be inclusive. This is the area of emphasis for project R7856.

Pattern of Participation

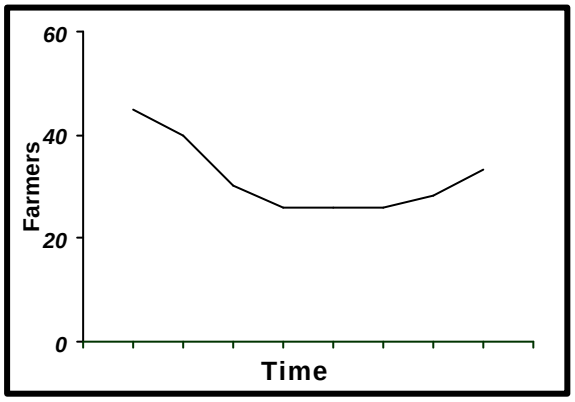
Hypothesis 1:

Farmers' participation in groups tends to follow the normal adoption curve, rising slowly at first, accelerating to a maximum, and then increasing at gradually slower rates.

(E. Rogers 1995)

Slide 7

Trend of Farmers' Participation



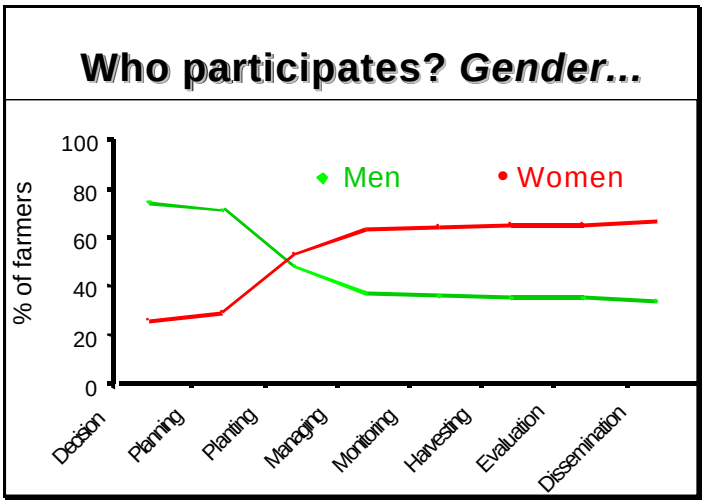
Slide 8
Project findings are shown.

WHO participates in FRG?

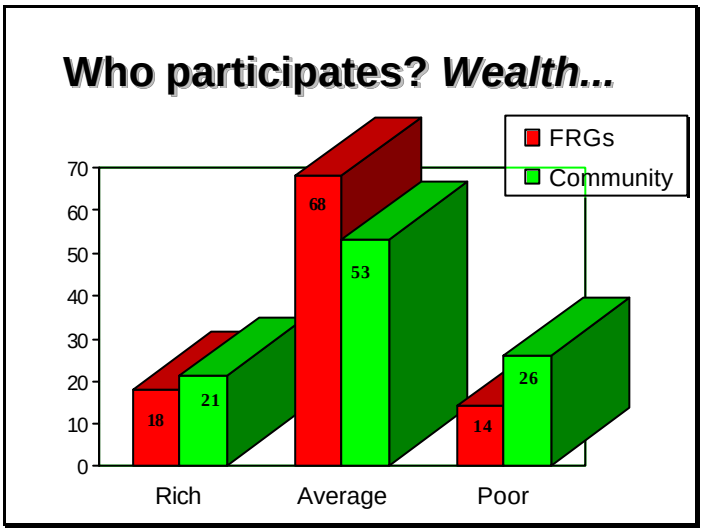
Hypothesis 2:

Farmer Research Groups may exclude certain categories of local people, particularly women and poor farmers, who may not be able to absorb the cost of participation and experimentation.

Slide 9



Slide 10

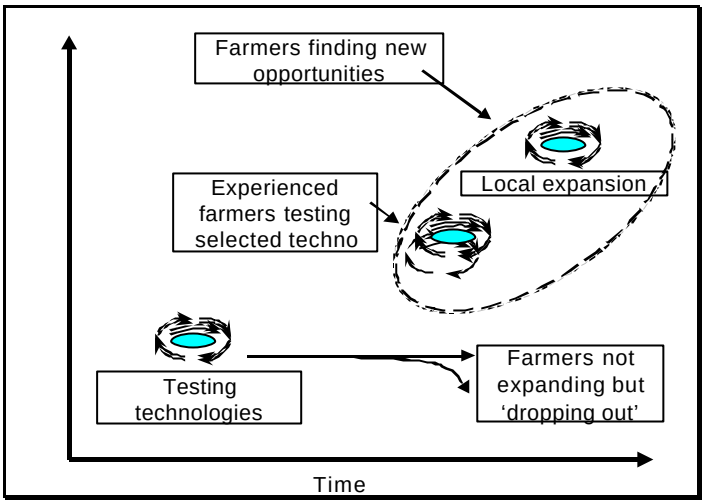


Slide 11

Participatory Monitoring and Evaluation

Categories	Indicators		Information needed	Tools and methods	Who collects	Time frame
	Research	Farmer				
Activities Milestones						
Technical (Technology outputs)						
Processes (Participatory Research Approaches-Quality of PR)						
Outcomes (Changes in practices) Behaviours)						
Impacts • Human Capital • Social Capital • Reach-Dissemination • Technology • Institutional • Feed back • Cost-benefits • Socioeconomic • Sustainability						
Reach Dissemination Adoption Scaling up						

Slide 12



Slide 13
Comment on Local expansion

Critical Success Factors

- Variety evaluation and simple technologies are good entry-points
- Scope of activities: successful FRGs were those that broadened the scope of their activities beyond experiments
- Group size and Leadership
- Commitment and reflective monitoring
- Social Capital: (bonding and bridging == collective action (MBCA)

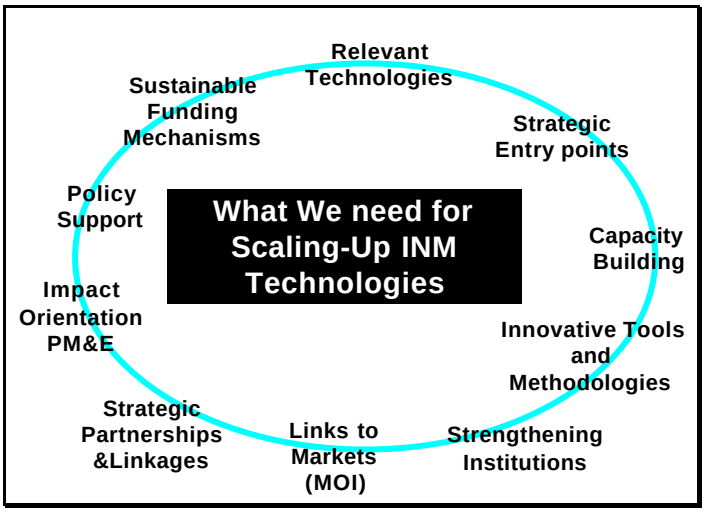
Slide 14
(MBCA = mutually beneficial collective action)

But…

How results of successful pilot research cases can be scaled-up?

- **Scaling Up = "Bringing more quality benefits to more people over a wider geographical area more quickly, more equitably and more lastingly"**

Slide 15



Slide 16

PM&E = participatory monitoring and evaluation

MOI = market opportunity identification

Local Institutions….

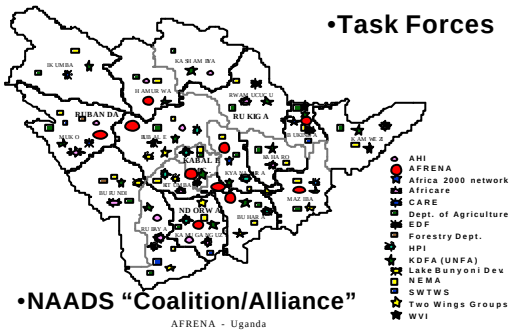
- Strengthen the **social capital** of local communities to improve their participation in policy decision-making process
- Assist in organizing platforms for improving links between local communities with district and higher-level policy institutions and other stakeholders

Slide 17

Building Partnership…
"Target Institutions"

•Stakeholders' Fora

•Task Forces



•NAADS "Coalition/Alliance"

AFRENA - Uganda

Slide 18

Influencing Policy…

- Credibility: Convincing evidence of impacts
- Communication Language of Researchers is frequently innapropriate
- Demand- driven: Incentives and resources to implement recommendations
- Opportunistic: Identify key points of leverage, and short-term opportunities
- Multiple stakeholder approach

Slide 19

And…

- **Perseverance, Perseverance and ….Perseverance**

Proactive lobbying!!!

Slide 20

Project R7856 – Strengthening social capital for NRM (in SW Uganda)

Questions (Q) and Answers (A)

Q: Why are there more men attending the meetings at the beginning?

A: Initially, men attend because of social habit and they have expectations for 'handouts' such as fertiliser. Women observe and see the meetings as useful, so they see a different value in it and their attendance builds up.

Q: Is there any link between the participation processes and the technologies?

A: Yes. It appears that certain technologies are suitable for dissemination through one person (demanding) and one person (service agent) providing. Other technologies require consideration by a group. For example – the occurrence of soil erosion over a relatively large tract of land (i.e., a landscape dimension to the problem). Where there are community aspects to an NR problem, building social capital can aid landscape level action. Community agreement can provide an entry into policy making. Also conflicts of interest can be identified since different groups may recognise different issues and possible outcomes around the implementation of certain technologies.

Q: Are farmers coming up with technology demands? Farmers may suggest certain technologies that differ from researchers ideas.

A: Yes, e.g. pyrethrum. The potential for this has emerged from participatory market research. Researchers are listening to farmer demands.

Q: Did you find any opportunities for farmers during the participation process?

A: Yes, we used a participatory methodology that farmers worked through systematically and then opportunities arose from this. The systematic approach was important for bringing out the opportunities.

Q: Policy entry for NRM is not easy. Are there some 'easier' entry points that can enable attention to NRM policy? E.g. links to markets for high value crops.

A: Yes, the links to markets for high value crops e.g. fruits, soybean are used as a way of leading to inclusion of NRM.

Q: What strategies do you use to test the NRM methods and disseminate them to the groups?

A: We have different types of groups. Also we feed in information as it is important to enrich the knowledge of the groups. In this way, social capital is strengthened. The focus is not just NRM issues but also more broader ones. How to make this sustainable is an issue since the provision of information is important and so there must be a sustainable mechanism for providing this.

1.3 R7830 and R7839 – Improving productivity and livelihoods in Bihar and Eastern Uttar Pradesh, India by MS Ashok

Slide 1

The Projects

Improved livelihoods Bihar and Eastern UP

- Two projects over 4 years (Oct 2000 - Sept 2004)
  - Land and water management - IRCER (R7830)
  - Livelihoods improved through improved crop and soil management - IACR / IRCER (R7839)
- Project inception Feb 2001
- Completion 2005

Support from DFID NRSP and ICAR

Slide 2

Project Team

- IRCER - Dr.A.K.Sikka (since Dr SR Singh retired)
- IACR - Drs John Gaunt and Stephanie White
- IWMI - Drs M Mainuddin, R Saktivadival, and H Sally
- UEA - Dr Richard Palmer-Jones
- CABI - Dr Sean Murphy
- SRI - Dr Tahseen Jafry
- Cirrus (previously Catalysts) - Sunil Chaudhary, Vijay Kumar Mishra, Rakesh Kumar, many volunteers, and MS Ashok

Slide 3

The context

- Indo-Gangetic plains (Bihar & Eastern UP)
- high potential area, rice-wheat, declining/static profitability
- extremely high incidence of poverty and deprivation
- multiple internal tensions in community (often in malignant form)
- very poor infrastructure, services and linkages
- misgovernance and abdication of many responsibilities by the state
- significant movement forward in other states
- trend toward globalisation
- participative analysis of local context

What are we trying to do?

Track 1: Work on specific technical issues

Track 2: Move centre of gravity of processes to the community to:

- Address broader livelihood needs
- Work with priorities of people
- Customise inputs to the community
- Improve poverty focus and equity

Slide 4
The challenge is: how do we harmonise work on the two tracks?

How? Track 2

- Create a number of interconnected vessels (micro-organisations) in the community to:
- Accumulate internally generated funds, knowledge, experience
- Develop a ferment, leading to meaningful demands on science, markets, agencies of the state, not based on handouts
- Engage with external forces, agencies, knowledge, finance, markets. on improved terms
- Improve livelihoods

Slide 5

How? Track 1

Develop meaningful changes in ourselves (the project team and our organisations) to respond to demands, needs and priorities in the community, especially with regard to the way we:

- Approach our work
- See our roles
- Relate to communities

Slide 6
Compare and contrast our approaches with traditional extension philosophy and approaches; also with ongoing NATP-ATMA experiments in India (funded by the World Bank). What can we learn and share?

Progress

- New and more efficient ways of group formation
- Exploring ways groups network for livelihood improvement, especially accessing and harnessing scientific knowledge
- Ways of empowering people rather than individuals

Slide 7

Progress

- Adding new dimensions to concept of sustainability
- Improved tools for livelihood tracking
- Testing and improving the database approach for microcredit monitoring

Slide 8
Groups in themselves are not a new idea. What is new is how they can work with scientists and researchers in a demand driven mode. We also seem to be on the way to developing cost and time efficiencies and sustainability in ways that potentially make group promotion commercially profitable for banks, financial institutions, and others. Development need not be based on handouts and subsidies.

Much remains to be done

- Looking again at ourselves and our institutions
- How would we redesign our projects with hindsight?
- How do we accelerate forward movement?
- How do we communicate what we learn to others, stimulate similar experiments, build a critical mass for change?

Slide 9
Many problems may lie within ourselves, the project partners, rather than with communities. How much and how fast can we, our organisations and institutional arrangements change and respond to community livelihood needs rather than impose our own agenda? How will costs be shared and met?

Slide 10

What are we doing about

- Tracking
- Documenting
- Institutionalising learning

Slide 11

More questions and challenges

- Why improve productivity of rice-wheat systems when effective demand and prices are static or falling?
- What alternatives do we offer to communities (and the economy as a whole) for use of land freed up by increased productivity?
- Should we have thought of this before recommending technologies for increased productivity, or even before developing them?

Slide 12

- Who do we need to talk to and work with to find answers to such questions (how do we combine science with sociology and economics, what are our capacities?)
- When people adopt technologies or accept scientific advice, what determines their decisions?
- How do they change, mix or modify what they take from scientists?
- Who is our 'customer', what can we offer?

Slide 13

- How do we ***know*** what is appropriate for a given set of persons or in a situation?
- Is the extension paradigm an appropriate link between science and the people? (Etymology signifies a one-way flow?)
- When we develop and recommend technologies and 'solutions' to problems, how valid are the assumptions we make about benefits and beneficiaries?
- How many of our recommendations are based on robust knowledge of effects on people we never talk to, consult with, notice or even see?

Slide 14

- How do we know that a recommendation is poverty focused, or neutral to poverty and scale?
- Where do the boundaries of our responsibility lie? Who takes care of what we don't?
- What can governments do? Do we see them as facilitators or drivers of development?
- Markets?
- Civil society?
- Legitimacy of diverse guardians, spokespersons, analysts and external specialists to speak on behalf of poor people, women and communities? What would constitute an authentic dialogue with people?

Slide 15

- Farmers, subcontractors or partners in research?
- How to improve research methodologies to avoid economic distortions that could degrade potential for eventual uptake/scaling up?
- People are entrepreneurs managing and hedging risks, too. What do we know of determinants of their decisions and processes – economic, financial, psychological and social?
- New kinds of interdisciplinarity?
- What individual and institutional reorientation is needed? Will science and scientists change, as we expect people to?

R7830 and R7839 – Improving productivity and livelihoods in Bihar and Eastern Uttar Pradesh, India

Questions (Q) and Answers (A)

Q: On slide 5 you mentioned development of a ferment. How do you create the ferment?

A: We started by building the first level (SHGs around savings and credit – 1 year). From this, bottom-up processes were learnt and using these, 5 themes were identified that required support. However, with respect NRM, the perspectives that came out were different from what was expected.

Q: How do we prevent poverty increasing?

A: That is too big a question to answer now, but governance problems certainly are an issue in this.

Q: Who (which target groups) is the focus of your project?

A: The focus is on the livelihoods of communities and not on our own institutions.

Q: Are there any conflicts between the micro-organisations and the communities?

A: NGO's tend to work with intermediaries who are agents of external powerful organisations. People then become clients and have no control. We are trying to sub-ordinate intermediaries to the micro-organisations through empowerment. There is an issue of dominance in dialogue by intermediaries. We are trying to reduce this.

1.4 R7559 – Coastal Livelihoods in the Caribbean presented by FM Quin, on behalf of Y Renard

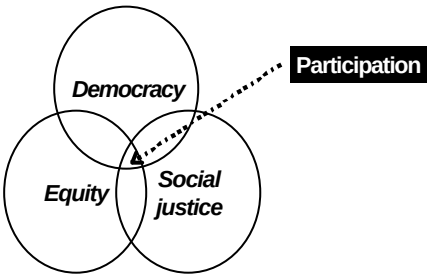
Overview of Project

- Coastal livelihoods in the Caribbean
- Very small project site
- Representative diversity of coastal resources and development issues
- Looking at the relationship between participatory institutions, sustainable use and poverty reduction coastal livelihoods in the Caribbean

Slide 1
Overview of the project: coastal livelihoods in the Caribbean; a very small project site, with a representative diversity of coastal resources and development issues; looking at the relationship between participatory institutions, sustainable use and poverty reduction; focus on coral reef resources and their uses; activities in sea urchin management, awareness of coastal pollution, development of seaweed farming, pro-poor tourism planning and development, and facilitation of institutional change.

Concept of Participation

Participation is a key ingredient of, and an essential requirement for:



Slide 2
Concept of participation: both means and end. When participation is an end, it is not an end in itself, i.e. *participation* and *equity* are not synonymous, *participation* and *democracy* are not synonymous, but participation is a key ingredient of, and an essential requirement for, equity, democracy and social justice.

The project asks three broad questions

1. What are some of the methods that can be used?
2. What kind of institutional arrangements appear best suited to support participatory management?
3. Is participation good for environmental sustainability?

Slide 3
Question 1 is not too difficult to answer: what are some of the methods that can be used to enhance participation in planning, decision-making and management? (Not *any* planning and management, but, in this case, planning and management for pro-poor and sustainable coastal development.)

Question 2 is more difficult to answer: what kind of institutional arrangements appear best suited to support participatory management? (Looking, in particular, at *alternatives to protected areas*, i.e. institutional arrangements that are suitable in "normal" conditions, where the establishment of coastal protected areas is not desirable or not possible.)

Question 3 may be impossible to answer: is participation good for environmental sustainability? If so, how? (Recognising that there is very little documented and published evidence of this relationship. Participation sounds good, but does it really make a difference?)

Use of participation to enable the poor to discuss and take decisions on NRM

- Occasional informal meetings, held in the local market place
- Mobilisation in advance of these meetings, to ensure involvement of stakeholders
- Involvement of target groups and individuals in the design and conduct of specific research activities
- Exchange of information and views between researchers and resource users
- Periodic redistribution of research results using appropriate forms and media

Slide 4

Occasional informal meetings (the "Research Forum"), held in the local market place, where research activities are presented and reviewed, and where development issues are raised and discussed.

Mobilisation in advance of these meetings, and careful scheduling of meetings, to ensure involvement of stakeholders who would not normally attend these types of events.

Involvement of target groups and individuals in the design and conduct of specific research activities (but not necessarily in the overall research project, see below) through informal discussions, meetings and research groups (currently three research groups exist for this project).

Exchange of information and views between researchers and resource users, and validation of popular knowledge when requested or justified.

Periodic redistribution of research results using appropriate forms and media (small exhibitions in public places, drawings, graphs, photographs, lectures and informal discussions with individuals and small groups).

Use of participation to enable the poor to discuss and take decisions on NRM (cont.)

- Recruitment of resource users for specific research-related tasks
- Development and use of a Geographic Information System (GIS)
- Advocacy work to encourage involvement of national and local government agencies
- Facilitation of "events" and "moments" that allow for negotiations and dialogue

Slide 5

Recruitment of resource users for specific research-related tasks whenever possible and desirable.

Development and use of a Geographic Information System, using MapMaker software, with data base and links to photographs and other sources.

Advocacy work to encourage national and local government agencies to listen to, and involve, local resource users and managers in decision-making processes.

Facilitation of "events" and "moments" that allow for negotiations and dialogue, under conditions (place, time, language, format, availability of external facilitator, advance sharing of information) that are favourable to poor and marginalized people.

Documentation of methods and processes, extracting learning

- Two "action case studies" (sea urchin management and tourism development)
- Case studies of four organisations and the evolution of their roles, responsibilities and capabilities

Slide 6

Two "action case studies" (sea urchin management and tourism development) that involve: base line studies; selection of indicators and monitoring; facilitation of planning, communication and decision-making processes; observation and recording of events and processes; gathering of other materials such as press clippings, as well as reports and announcements issued by public agencies.

Tracking progress and change

- The impact of participation is not necessarily on the agenda of poor people and local organisations
- Reduction and elimination of poverty
- Opportunities for greater participation in decision-making
- An institutional analysis was done after year one to reveal changes in governance and institutions

Slide 7

Who does that? *The impact of participation* is not necessarily on the agenda of poor people and local organisations. *The reduction and elimination of poverty*, and *opportunities for greater participation in decision-making* are much higher on their agendas.

An institutional analysis, done after year one (IDS student and local research team), and to be repeated towards the end of the project, to reveal changes in governance and institutions.

Tracking progress and change (cont.)

- Project initially suffered from the "tyranny of participation"
- Much higher on their agendas
- It is now clear that questions related to the processes and impacts of participation concern primarily the project team

Slide 8

The project initially suffered from the "tyranny of participation", as if its commitment to participation (i.e. to equity, social justice and democracy) as well as its focus on participation as an object of research implied that everything it did had to be participatory. We have since learned, the hard way, that *participation in research* is not synonymous to *participation in development*, and that non-participatory research can contribute to participatory development (as long as it remains ethically acceptable). From this project's experience, we can even ask if participatory research is not, in some cases, actually stifling and preventing participation in development.

It is now clear that questions related to the processes and impacts of participation concern primarily the project team. But (a) this project team is diverse, with a steering group that comprises approximately 12 individuals, many of whom are part of the local community, and (b) this research agenda is shared with and explained to the target groups, whenever possible. (In the current discourse on participation, we may be repeating the obvious, i.e. that research should be transparent, and that researchers should treat their partners ethically).

Institutional integration of the processes and methods

- Creating demand
- Building local capacity and institutional arrangements
- Documenting, developing and disseminating methods:
  - *Project will develop guidelines on institutional analysis and facilitation of institutional change for participatory coastal development, to be used as training materials.*
  - *Paper on the use of GIS and their usefulness in participatory coastal management.*

Slide 9

Creating demand: at the local level, through its participatory planning and management initiatives, this project is generating a demand for participatory approaches.

Building local capacity and institutional arrangements: also at the level of the project site, this work is precisely aimed at the institutionalisation of participatory approaches and processes.

Documenting, developing and disseminating methods: in its final phase (first quarter of 2003), the project will develop guidelines on institutional analysis and facilitation of institutional change for participatory coastal development, to be used as training materials. The project will also develop a paper on the use of Geographic Information Systems and their usefulness in participatory coastal management.

Institutional integration of the processes and methods (cont.)

- Extracting lessons:
  - *project proposes to convene a regional seminar on lessons learned from participatory processes*

Slide 10

Extracting lessons: in February or March 2003, the project proposes to convene a regional seminar on lessons learned from participatory processes in various parts of the Caribbean. It is hoped that the results of the Reading workshop will guide and inform the design of this seminar.

Plenty of questions arising

- Is participation necessarily placating and imposing a different and new process of decision-making, and at what cost?
- Do community-based programmes consciously or unconsciously impose a formalised "participatory" structure on already existing community level methods for participation in important affairs?
- Who sets the rules of participation?

Slide 11

Is participation necessarily placating and imposing a different and new process of decision-making, and at what cost? Or is participation capable of transforming existing processes towards more equity, more democracy, and more transparency? If so, how?

Do community-based programmes consciously or unconsciously impose a formalised "participatory" structure on already existing community level methods for participation in important affairs? Do they inadvertently lessen the effectiveness of these pre-existing structures?

Who sets the rules of participation? Who decides to have a process that is different from the one that existed before? Why? With what consequences? Participation, fine, but on whose terms? Can there be truly endogenous participatory processes?

Plenty of questions arising (cont.)

- Participation is usually presented and advocated as a process. Isn't there a fundamental problem with structured processes?
- Is there a problem with the methods of participation available from the literature?
- How can participation really change power relations?

Slide 12

Participation is usually presented and advocated as a process. Isn't there a fundamental problem with structured processes? Aren't structures and planning systems inevitably dominating and inequitable? Is it possible, in a structured process, for people to speak honestly, for the weak and marginalized to have a real voice? Processes need moments and rituals (meetings, plans, decisions, visits by donors or resource people, reports, etc.): is this a problem? Are these processes also trying to move too fast, are they too product-oriented? Is there a problem with set time frames? With predetermined work plans?

Is there a problem with the methods of participation available from the literature? Are these methods made to serve outsiders and externally-driven processes? The methods are more user-friendly, perhaps, but who really uses the results? Do these methods inevitably simplify, reduce the reality? Are we exaggerating their usefulness?

How can participation really change power relations? Doesn't it always leave out the most marginalized and the poorest? If participation brings change, isn't it still always "change from above", and "change from outside"? Is participation prepared to deal with, and transform, power relations? Under what conditions does participation make a real contribution to democratisation and equity?

R7559 – Coastal Livelihoods in the Caribbean

Questions (Q) and Answers (A)

Q: The questions that Yves has raised, beg the additional question of 'Is participation un-reconstructed post modernism?'

A: This question refers to the paper by Nour-Eddine Sellama (ODI Working Paper 19, August 1999). The citation is given in the list of web and documentation information.

Q: *(A comment)* – There are guidelines on participation that the government has to follow. In an evaluation of people's participation in projects in India, it was found that during the implementation stage, participation declines. After implementation, participation goes further down. In other words, interest is high at the beginning, then agendas change and interest falls. This creates a problem for institutionalising participation.

Q: How did participation not become an agenda within the organisations? (This question was put more to the comment than to the R7559 presentation).

A: At the beginning, people were motivated to buy-in to participation, but then other agendas were brought along, which prevented participation. (The experience is similar to that of R7856, refer Section 1.2, slide 10).

1.5 R7959 and R8084 – Participatory action plan development and implementation in Hubli-Dharwad, Karnataka, India by B Ambrose-Oji and P Bhat

Slide 1

Participation at the Peri-Urban Interface, Karnataka, India R7959, R8084

Collaborators:

UAS, Dharwad; IDS, Dharwad; BAIF, Dharwad; University of Wales, Bangor; BPF, Bangalore; IDD, Univ. of Birmingham; DPU, Univ. of London

Slide 2

Background to projects

- Features of the PUI:
  - Not a specific place
  - Network and flow of processes and resources, sources and sinks
  - Institutionally complex – neither rural nor urban
  - Changing quickly
  - Livelihoods opportunities and constraints
- Two projects of interest:
  - R7959: Development of Action Plans
  - R8084: Enhancing Livelihoods through development actions and institution of (P)M&E systems to influence policy.

Slide 3

Context of Participation

- During R7959
  - as a planning process
  - as a means to identify problems and solutions
- Within R8084
  - as a means to implementation
  - as a means to formulate new partnerships
  - as a means to institute sustainable (P)M&E systems leading to better policy formulation and implementation
- Over both projects as a way to engage the range of stakeholders found at the PUI, the crux since institutions (organisations and social practice) overlapping, contested, and changing
- Challenges not only institutional but also how to understand peri-urban poverty and engage with the poor

Slide 4

Research on participatory processes

- Using a mix of methods for implementation and learning viz. enabling and constraining factors specific to the PUI
  - Testing NR/livelihood strategies derived from R7959 action planning
  - Testing different participatory 'models' to implement these strategies
  - Testing different routes to promoting co-operation between key stakeholders (NRM, SL, and PPP)
- NRM and livelihood Strategies at household, group (Sangha), community and district level
- Participatory models range from 'spiritual' to more passive participation depending on the context and objectives

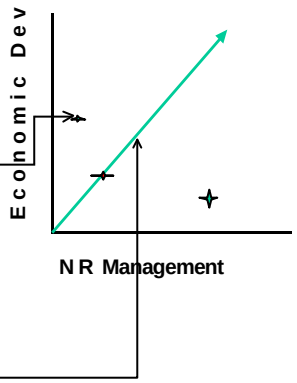
Slide 5

Pro-poor and poverty focused strategies: finding a balance

- **PUI tension between livelihoods and NR base**

Livelihoods of the poor may be linked to less sustainable forms of NR management e.g. brick making (removes topsoil, increases areas of wasteland, changes water relations)

We need to find a balance between the needs of the poor and other members of the community and between processes of urban development and conservative NR management



Slide 6

Features of successful Strategies from BAIF experience

- Unspectacular entry (helps to ensure contact with the poorest groups, builds trust)
- Social Mobilisation (which may begin with issues not related to NR e.g. alchoholism)
- Subjectivity (differing perspectives are accounted for and strategies are tailored to the needs of specific groups of stakeholders)
- Spirituality (has helped to build commitment and community level action)
- NR management by the family (some NR-livelihood issues can only be tackled at a family level)
- Exposure Visits (helps poor groups to identify livelihood opportunities suited to their capital portfolios)

Slide 7

Hasiru Habba

"Celebration of tree planting"

a community level action, following a spiritual model of participation, to achieve better watershed management

Slide 8

Managing own Resources:

family level actions to improve livelihoods and NR management prompted by exposure visits

- **Pitting for horticulture**
- **Trenching for soil & water Conservation**

Slide 9

Voices and Decisions of the Poor: Methods and Means

- Problem analysis and planning (shaping intervention)
  - Stakeholder planning workshops including poor and TIs
  - SHG, CBO, user groups
- Using existing structures and options (creating demand - service provision)
  - Representation on District Steering Committee
  - NGO facilitation and provision of training
- Building new options and influencing institutions (shaping change)
  - PM&E
  - Advocacy by project on behalf of poor groups of people at district, state and national level

Achievements in Participation

Slide 10

- Capacity building – poor groups leading meetings and workshops.
- People understanding the process better. Voices getter louder!
- Shramadan: willingness to reinstate community actions
- Local Govt sensitised- Steering Committee

Challenges to Participatory approaches

Slide 11

- Eluding linkages (between NR and livelihoods, between institutions in the PUI)
- Strategies for the poorest of poor (understanding the dynamics of poverty in the PUI – usual indicators and processes may not apply)
- NR that are not controlled by the community (e.g. effluent/black water used to improve livelihood)
- Policy on NR based activities that are both beneficial and degrading (water management; ; industrial plantations)

Tracking Progress

Slide 12

- Learning:
  - extractive research (project)
  - process observation (project)
  - participatory and reflective learning (all stakeholders)
- Data focus:
  - baseline, impact, outcome, process
- Data types:
  - Process: discursive, fuzzy. Changing to lesson focused reporting and use of qualitative and quantitative indicators
  - NRM and Livelihood changes: Qual. and Quant. and some 'fuzzy'

R7959 and R8084 – Participatory action plan development and implementation in Hubli-Dharwad, Karnataka, India

Questions (Q) and Answers (A)

Q: We talk about our 'agendas', the research team, the community, etc. What processes do we go through to come to a decision about how we go forward? Is it a question of give and take? Research communities in particular have to meet their organisation's agenda. How do we overcome this?

A: Concepts of participation vary across communities, situations and contexts. External agencies (such as project teams) may enter a situation with a pre-conceived set of notions of what participation means, with a 'gospel'. They also want to promote such 'gospels', to critique 'participation' as though it was a single concept, and then to generalise too quickly. This could be fallacious.

Q: *(A comment)* Participation as writ is not as it appears on the ground. It is different in different settings and contexts. There is a need to understand participation in differing contexts. Is this in the literature?

Q: *(A comment)* What is environmental sustainability? It was evident in this presentation that pro-activity for the environment has a cost to the poor. It highlights some of the complexity of sustainability.

Q: Has the team's experience of the features of participation changed as you have progressed from action planning to action plan implementation?

A: Yes, who enters into the participatory process gives signals to who comes. Our experience is that an 'Unspectacular entry' attracts the poor. We place emphasis on this.

1.6 R7995 and R8080 – Participatory action plan development and implementation in Kumasi, Ghana by Korsi Ashong

Slide 1

Participatory Methods and Processes:

Insights from DFID R7995 & R8090 (NaRMSIP for Kumasi PUI and Boafo Ye Na Projects)

Korsi Ashong
Centre for the Development of People (CEDEP), Kumasi, Ghana
7-8 September, 2002

Slide 2

Project Collaborators

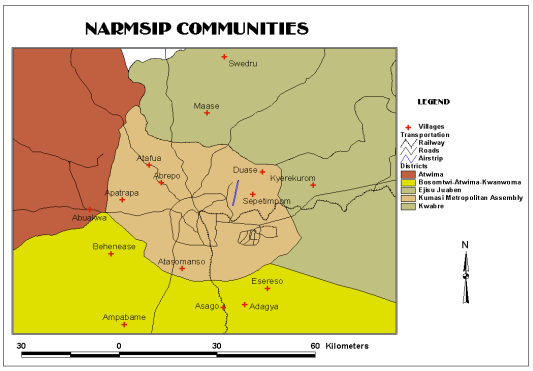
- Professor David Simon
  - Professor of Development Geography, Department of Geography, Royal Holloway University of London
- Dr James Quashie Sam
  - The Coordinator, Ghana-Canada in Concert Institute of Renewable Natural Resources (IRNR), Kwame Nkrumah University of Science and Technology, Kumasi (KNUST)

Slide 3

Project Collaborators (cont.)

- Dr A. K. Johannes Awudza
  - Lecturer, Chemistry Department, KNUST
- Dr K. E. Mensah Abrampah
  - Lecturer Department of Planning, KNUST
- Mrs Olivia Agbenyega
  - Lecturer, IRNR, KNUST

R7995 and R8090 Communities



Slide 4

Context

- KPUI research over the past six years revealed much about PU settlements and the implications for the vulnerable (Access to social amenities, scramble for natural resources, pollution of environment and water bodies, changing livelihoods)
- There need to empower the vulnerable to take advantage of opportunities that accrue from proximity to the urban center as investigations using the sustainable livelihoods framework would reveal

Slide 5

Context (cont.)

- CEDEP and collaborators, at the instance of the NRSP under Project Number R7995 facilitated the formulation of three Action Plans through extended interaction with principal stakeholders on the KPUI:
  - Livelihood activities requiring very little land to undertake
  - Livelihood activities requiring more land to undertake and
  - Livelihood activities which process products from the first two above

Slide 6

Slide 7

DFID R8090: Who can Help the Peri-urban Poor?

- CEDEP and Collaborators are now:
  - Supervising the implementation of plans prepared under R7995 and
  - Observing how the plans are being implemented, to answer question who can help the peri-urban poor

Slide 8

- A key strategy to build on previous research findings has been adopted which allows:
  - Relationship with other projects
  - Relationship with previous peri-urban research projects
  - Relationship with contemporary peri-urban research projects

Slide 9

The Process

- The preparation of the above plans followed a the following process:
  - Mobilising relationships: Traditional Authorities, Members of District and Sub-District Institutions, Community Organisations, Ordinary community Members themselves were mobilised.

Slide 10

The Process (cont.)

- **Community Level Facilitators** selected from each community became an important body for mobilising community members
- Creating awareness on peri-urban issues and the CLFs are demonstrating some non-form natural resource based livelihood activities
- Preparing plans to address peri-urban issues

Slide 11

Some Lessons Learnt in R7995 and R8090

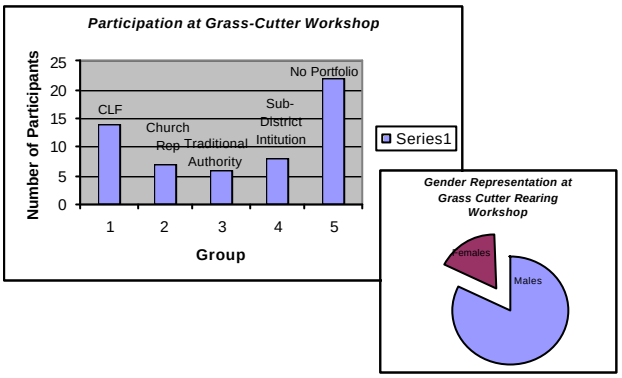
- Identify whose participation is critical *(Previous Researchers, District Assemblies, Sub-district institutions, Traditional authorities, Community Leaders, and Individual Community Members)*
- Identify what each member has to offer *(Knowledge, Experience, Moral/Political Support, Interest)*

Slide 12

Some Lessons Learnt in R7995 and R8090 (cont.)

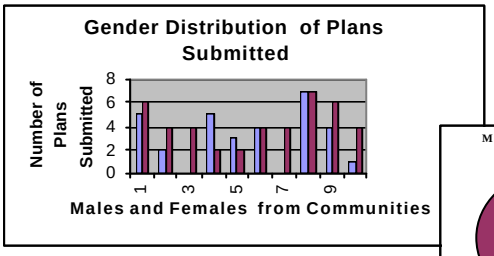
- Create the appropriate environment for each of the above to offer what they have and respect what they offer *(Meetings, forums, workshops, hearings)*
- Get watchmen to hold every participant to his/her word, even the District Chief Executive *(The role of Ministers and Members of Parliament). Do not just invite them, plan together with them and give them a role to play otherwise they would not attend*

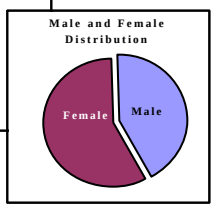
Participation (Workshop)



Slide 13

Participation (Business Plan Preparation)





Slide 14

Best Practice

- Frequent meetings with researchers to discuss project progress
- Select best people who can and are willing to do the work under different situations
- Deal fairly with people from all circles and assist your helpers to do the same
- Get community leaders' consent before you engage the community

Slide 15

Best Practice (cont.)

- Let the community select their own facilitators (CLF), insist on gender balance
- Train the CLF to facilitate
- Use the CLF for your entries and help the communities to confide in their CLF
- Use tools (NR Map, Wealth Ranking, Venn Diagrams, Listing, Scoring and ranking, Problem Trees, etc.) as starters for discussions and also as ice breakers

Slide 16

Best Practice (cont.)

- Begin from where the communities are: in terms of knowledge, livelihoods, etc.
- Let communities and collaborators decide what they want to do about the problem (Action Plan, Business Plan Format, Grass Cutter Plan from Swedru)
- Harmonize past and present efforts
- Provide feedback continuously to manage problems/ misunderstandings

Slide 17

Best Practice (cont.)

- Invite all stakeholders, both gainers and losers to hearings
- Keep your schedules with communities and stakeholders, explain all missed appointments
- Include policy-makers who influence governmental and non governmental official
- If you want they themselves to attend then plan with them

Slide 18

Documentation Methods

- Photographs
- Video Recording
- Reports
- Individual Business Plans produced by community members with assistance from CLFs
- Leaflets, posters and fliers
- Workshops outputs
- Proposed publications

Slide 19

Tracking progress and change

- Observations by project staff, collaborators and CLFs
- Project staffs reports to stakeholders
- Providing feedback to communities
- R8090 carrying out a baseline to investigate issues that emerged during R7995

Slide 20

Preliminary R8090 Findings

- Existing community groups are structurally weak
- The poor may not belong to the few well-organized groups
- Groups easily emerge if assistance is tied to group membership
- Communities do not attach importance to livestock rearing
- Community leaders are likely to take any opportunities which would arise
- Communities are eager if one considers the plans which have been submitted

Slide 21

Slide 22

Strategies for institutionally integrating research findings into development practice

- Refocus research
- Extract lessons of experience
- Investigate the lessons scientifically
- Publish findings (put up a web page)
- Provide avenues for feedback
- Capacity building for researchers

R7995 and R8090 – Participatory action plan development and implementation in Kumasi, Ghana

Questions (Q) and Answers (A)

There is no time for questions on this presentation but points from it were picked up in other discussions.

1.7A R7562 and R8103 – Consensus building for NRM strategies for the common pool resources in the Bangladesh floodplain presented by Roger Lewins

Slide 1

Consensus Building Methodology

Anisul Islam & Julian Barr

Slide 2

Consensus Building Methodology

- Involves: Consensus building activities
- To achieve: Consensual agreement on CPR management
- Participatory Action Plan Development (PAPD)

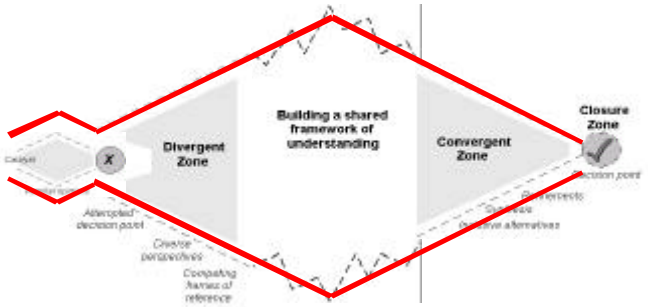
Slide 3

Participatory decision-making

Business as usual

Slide 4

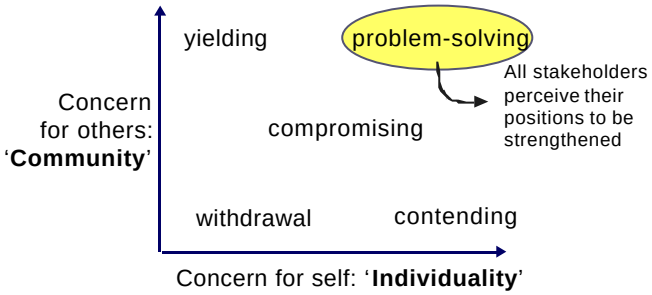
Real participatory decision-making



Slide 5

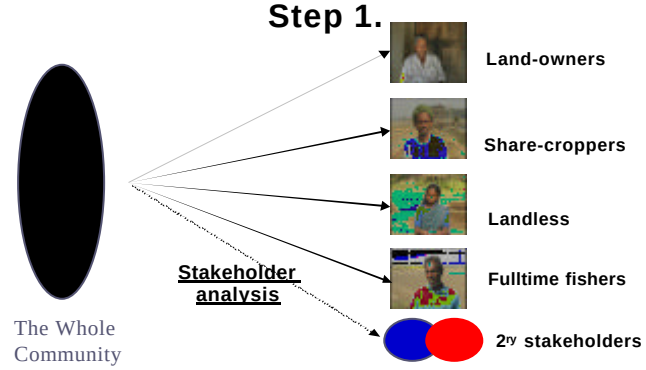
What is consensus?
consensus vs. conflict

5 basic responses to conflict



Slide 6

Consensus Building Methodology Step 1.



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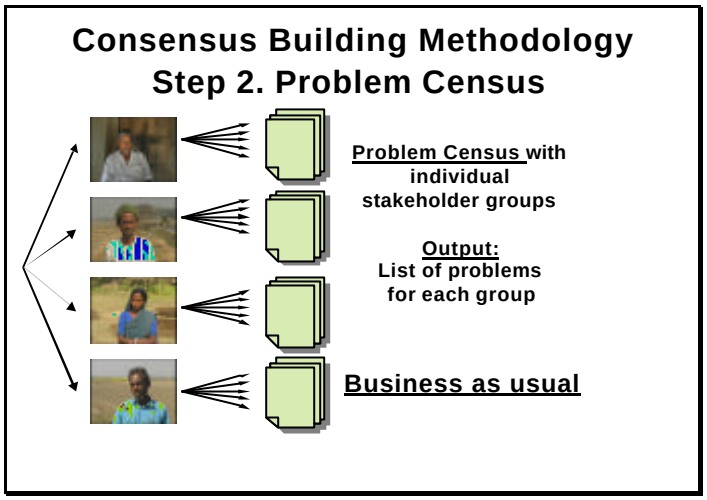
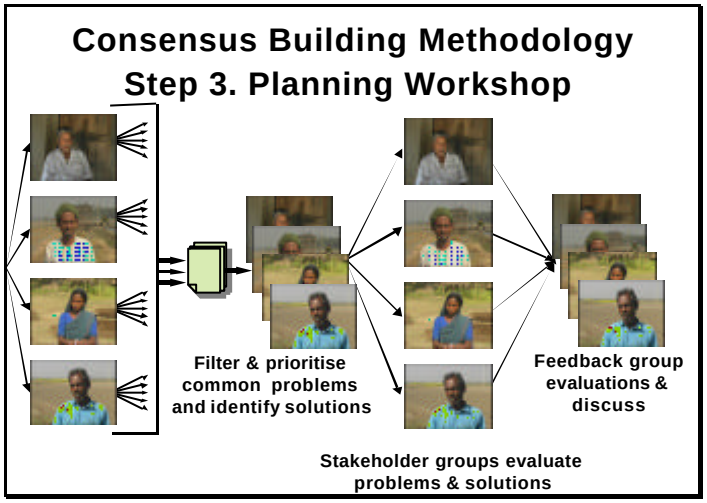


Slide 8



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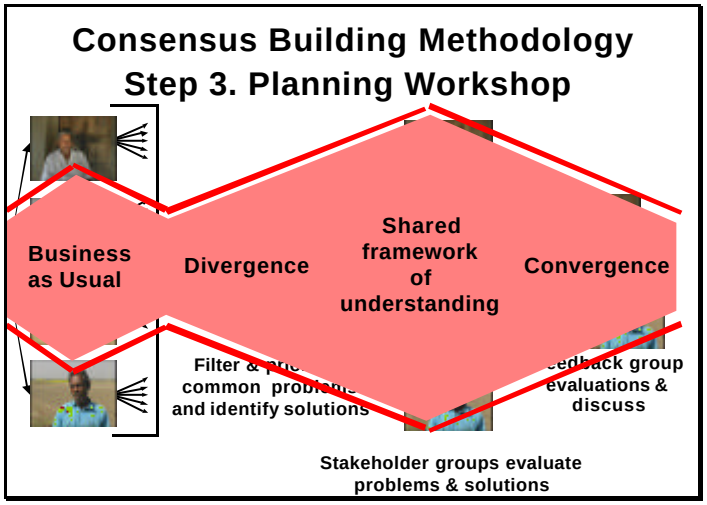
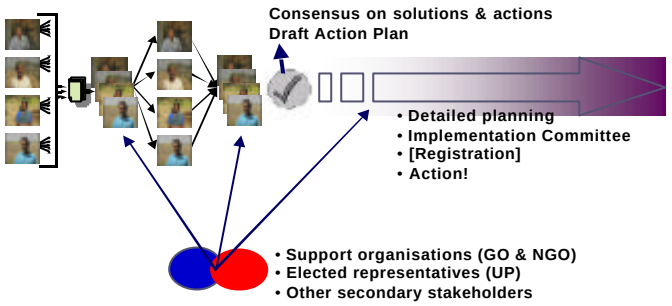


Consensus Building Methodology
Step 4. Action Plan Implementation



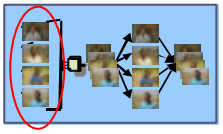
Slide 10

Consensus Building Methodology

Slide 11

Consensus Building Methodology
Detailed methods – Problem Census

- Brainstorm problems
- Rank problems
- Cause & Effect analysis (10)
- Identify possible solutions
- Prioritise solutions
- Resource mapping
- Calendar diagram



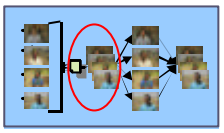
Slide 12

Consensus Building Methodology

Detailed methods – Planning workshop

Slide 13

<u>Opening Plenary</u>



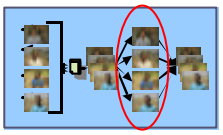
- Cluster problems
- Distil out non-NR problems
- Endorse clustering & distillation
- Prioritise problem clusters

Consensus Building Methodology

Detailed methods – Planning workshop

Slide 14

<u>Stakeholder sessions</u>



- STEPS analysis of possible solutions
  - Social, technical, environmental, political & sustainability
- Impact on other stakeholders
- Alternatives analysis

Consensus Building Methodology

Detailed methods – Planning workshop

Slide 15

STEPS analysis

Intervention/Solution	Social/ Political	Technical/ Economic	Environmental	Sustainability
•Re-excavation of Poshna khal	•Require consent and assistance from: Local people Landowners beside khals Union Parishad Upazilla Engineer Laborers • Require consent from landowners to keep re-excavated earth	•1.5km long x 20' wide x 8' deep • Compensation would be required for the landowners adjacent to khal • Pump out water prior to re-excavation • Cultivable lands would be wasted	• Enhancement of fish migration • Beel water becomes fresh • Prevent fish diseases • Increase production of aquatic vegetation • Increase fish production • Increase bio-diversity • Better water management	• 10 years without any management and 13 years if plantation done along the bank of the khal • Require unity for sustainability • Establish Resource Management Committee for management after project phase out

Slide 16

Consensus Building Methodology

Detailed methods – Planning workshop

Impact on other stakeholders (as viewed by farmers)

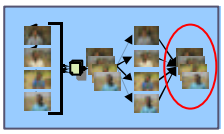
Stakeholder	Solutions/Actions				
	Re-excavate Poshna khal	Establish 4 culverts on khal	Restrict fishing during Ashar-Shraban	Stop fishing with khoa jal and current jal	Stop pagar dewatering
Day labourer	+	+	+	-	+
Sharecropper	+	+	+	-	+
Fisher	+	+	-(+)	-	-(+)
Money lender	+	+	+	+	-(+)
Chairman	+	+	+	=	+

Slide 17

Consensus Building Methodology

Detailed methods – Planning workshop

Closing Plenary



- Share outputs of stakeholder sessions
- Open debate on proposed solutions
- Agree on solutions → outline action plan
- Agree outline of Implementation C'tte

Slide 18

Consensus Building Methodology

- **Practical issues:**
  - Skilled facilitation
  - Flexible implementation
  - Inclusive of all
  - Willing to broker 2ry stakeholders
  - Open to unexpected outcomes
  - No quick fixes (2wks, 1wk, 1wk, 4 weeks, ++)

1.7B R8103 – Consensus building for NRM strategies for common pool resources in the Bangladesh floodplain by B Peacocke

Char Consensus Building

- Charland LWI context + conflict
- Process and participation
- Capturing change
- Imbedding the PAPD
- Scaling-up
- Learning

PRACTICAL ANSWERS TO POVERTY

Slide 1

Charland LWI context

- Seasonal floods and displacement
- NR focus to char livelihoods: sharecropping, fishing, selling labour, homestead gardening
- Conflict and control relationships over NR access and ownership of Khash

Slide 2

Context 1: Confidence Building

- Mapping resources, influences and constraints to livelihoods of rich, medium and poor women and men
- Informing secondary elites, GOs and local NGOs through upazila and district workshops

Slide 3

This is part of initial scoping study

1:1 at first, then groups.

Participatory mapping, matrix ranking and other generic participation exercises

Cross referencing NR access, control and influential people.

Triangulation between grassroots groups, and between grassroots and elite groups.

Context 2: Conflict Analysis

Leading to:

- Identification of problem Khash sites, individuals and processes

and,

- Historical analysis of site-related examples of (ongoing?) LWI 'mediation' processes

Slide 4
Three parallel analyses over Khash allocations
RMP men and women
Influential persons
Formal information sources in Union Parishad, Upazila and District offices
1:1 interviews followed by group discussions with each subset (leading to):
Triangulation of perceptions and biases (and):
Identification of main khash controlling agents and influences

Context 3: Entry Points

PAPD may work where

- Issues are low-medium risk
- Stakeholder interests known
- Based on an understanding of *in-situ* Consensus Building and institutional roles and responsibilities

Slide 5

Examples of entry points

- Sites where existing khash negotiations may be resolved
- PTD surrounding common interest opportunitites - production technologies
- Market access and added-value processing

Slide 6
Bringing people to the point where PAPD makes sense
Facilitating participation in PAPD through knowing individuals and sites
PTD participation opportunities through exposure tours, farmer-farmer exchange visits e.g. to existing ITDG char sites in Faridpur or other success stories: 'build up confidence'
Also exchange visits of UP chairmen, GO officers to others more amenable to change
District level 'higher profile' workshops to increase sense of opportunity
i.e., here we are trying to explore how to go about:
Building inter-class solidarity
Increasing recognition that there is added value in consensus

Documentation and learning

- Internal
- Interface
- External

M&E Processes with respect to the community

Slide 7

Interface documentation

	Hopes/+ve	Fears/-ve	Comments
Natural resources	• Indicator •	•	
Social and organisational	•	•	
Institutions and representation	•	•	
Individual and household	•	•	

Slide 8

Trying to capture cognitive and structural social capital

Cognitive=(aspirational and motivational)=vertical axis

Structural=institutions and social and organisational factors

Encouraging the development of community indicators by RMP separate wealth groups of women and men leading to seven analytical phases

Encouraging the periodic adjustment of indicators

Encouraging quarterly coming together of different groups in open/broader discourse

Sustainability

- Primarily about trying to establish the PAPD as an ongoing process accepted within existing institutions and understood by wide range of local primary and secondary stakeholders

Slide 9

Slide 10

Up-scaling

- Exposure visits for new sites to those where PAPD becoming embedded
- Local 'democratic' engagement converging at the Upazila level with downward decentralisation processes - DFID, BNP

Slide 11

ITDG Perspective

- Char consensus building project not just about model testing
- Can PAPD operate as a reagent for social change?
- Can we imbed PAPD within existing institutions and processes?

Slide 12

Where to PAPD?

- Visible part of a wider grassroots and local-meso learning process - at the top of the iceberg

R7562 – Consensus building for NRM strategies for the common pool resources in the Bangladesh floodplain and R8103 – CHAR consensus building

Questions (Q) and Answers (A)

Q (to R7562): The consensus building methodology is presented as resource intensive. It seems to require a highly visible 'entry'. It was not clear how demand for conflict resolution was ascertained. Earlier talks presented a 'low visibility' entry and a process that revealed conflicts and 'demand' for resolution. Can we learn something from these contrasts?

A: Quite simply – yes

Q (to R7562): How did you capture change on a monthly basis? Who does this and how? Is it by interviews, group discussions, informal interviews etc?

A: Individuals and communities develop their own indicators. Facilitators enter every month to capture change based on these indicators.

Q (to R7562): Your presentation emphasised the need for linkage, working from the bottom and moving up but also working from the top down. Are we looking at political capital? In the CBM methodology, is political capital built at the bottom that registers with the top? This could be similar to the ferment referred to in projects R7830/39 (Section 1.3, slide 5). Also the watch dogs of R7995 (Section 1.6, slide 12) are relevant. It appears that one outcome is that you achieve a clarification of issues.

Q (to R7562): As follow up to this question, how do you bring together people with different interests? What is the incentive for consensus building and conflict solving for these stakeholders who are currently benefiting from the conflict situation?

A: The project uses experienced facilitators who assist people to envision the future. The project starts from relatively easy entry points (problems affecting all the stakeholders) e.g., saltation.

Q (to R8103): In consensus building workshops, even with those choosing relatively straightforward starting points, how do facilitators deal with imbalances in power, social influence ability to articulate a case etc among different stakeholders?

A: Involvement of key secondary stakeholders can help to even out these differences. The process is dependent on good facilitation. It is recognised that the imbalances risk re-emerging after the workshop. ITDG recognise that an extended entry phase is needed for some issues and may involve leadership and empowerment training.

Q (to R7562): How was PAPD arrived at? Subsequent to this, are there any experiences on participatory implementation of the plans of PAPD?

A: The PAPD was developed largely as an output of a previous NRSP project investigating livelihoods at the LWI in Bangladesh. It builds on the workshop methodologies used by the NGO, CNRS in Bangladesh. The three communities we worked with in R7562 have all taken the PAPD forward in the last 18 months. One community has successfully excavated a canal channel and negotiated the terms of support and inputs to the work. The other two communities are still discussing action plans. But CNRS have operated this process many times before and they have a bank of success stories for progressive habitat management by communities themselves.

Q (to R7562): Problem census could be thought/considered as a census of issues and also a census of ability – which assists start up from a more positive perspective. Is it possible that the PAPD process is over formalised (by external parties)?

A: The PAPD might be rather directed by the facilitating party, partly as a function of the mixture of abilities and level of influence of the participants. What is important is that facilitation is sensitive enough to derive useful inputs from as many participants as possible. Although the presentation looked mechanistic, we encourage facilitators and participants to adapt the process. The feedback from the project suggests this is precisely what happened.

1.8A R7408 - Trade-off analysis for participatory coastal zone decision making in the Caribbean presented by FM Quin

Slide 1

Natural Resources Systems Programme

WORKSHOP

Projects R6919 and R7408

Trade-off analysis for participatory coastal zone decision-making

Slide 2

Trade-off analysis

•Trade-off analysis is an integrated and inclusionary process. It requires information to be able to answer stakeholders' questions about impacts of different activities on the resource in question.

•Organising information so that it is understandable and useable is a central feature of Trade-Off Analysis

•It includes three main techniques:

Slide 3

1. *Stakeholder analysis* to explore the range of stakeholders, their interests in the resource and the use conflicts that may exist;

2. *Multi-criteria analysis* to manage both scientific and lay knowledge and to use it to generate preference-ranked outcomes;

3. *Consensus building* to find areas of commonality among stakeholders and to help them build consensus.

Slide 4

•In this presentation, the main focus will be on the multi-criteria analysis (MCA) aspects of the methodology

•MCA generates 'effects' tables. An example is provided in the following slide

•This assists the identification of alternative sources of action open to the decision makers – the alternative future development scenarios

Slide 5

Multi-criteria analysis (MCA) produces 'effects' tables – showing the impact of each of the different scenarios on each of the management criteria

An example:

	Scenario			
Criteria	***A***	***B***	***C***	***D***
Economic				
Economic revenues to …	**9**	**11**	**17**	**19**
Social				
Local employment	**2500**	**2600**	**6400**	**6500**
Local access				
Ecological				
Water quality (g N/l)	**1.5**	**1.4**	**2.2**	**1.9**
Sea-grass health (g dry weight/m2)	**18**	**19**	**17**	**18**

Slide 6

The effects table provides

A. An estimation of the impact of each of the alternative courses of action (scenarios) on the management criteria

B. In producing this, engagement with stakeholders is used to create the management priority weights

C. The information collated and weights elicited, are used to find areas of common understanding among the stakeholders and to build consensus

D. Key feature: There are quantitative estimates that can be tracked/verified during implementation of a scenario

1.8B R7150/PD099 - Sustainable livelihoods for agro-pastoralist communities adjacent to game parks in semi-arid Kenya by Stuart Coupe

Slide 1

Participatory Approaches Workshop, NRSP September 2002

ITDG
PRACTICAL ANSWERS TO POVERTY

Sustainable Livelihoods for Park Adjacent Communities in Kenya

Slide 2

Original Research Design

- Impact of Conflict over Common Property Resources
- Purpose: Generation of Criteria for Pro-Poor Common Property Resource Management

Slide 3

- R7150 Report - August 2000. Accurate portrait of the institutional issues in Eselenkei and Kathekani affecting livelihoods. But….
  - Biometrics?
  - Consensus Building Methodologies?
  - Community Analysis?
- Participatory Process?
- Workshops held November 2000
- Request for further support, leading to extension Feb-June 2001

Slide 4

Southern Kenya Ecotourism Project

A bundle of Mbetwa grass ready for storage and harvested seeds

Mbetwa grass in the farm

Slide 5

Bee keeping and improved techniques for wild honey harvesting

Decentralised Animal Health

Slide 6

Environmental friendly tse-tse fly control technologies -e.g. use of traps

Home made livestock mineral supplements

Slide 7

Awareness Raising/Institutional Capacity Building

- Local consensus building activities and information exchange.
- Local multi-stakeholder workshops and exposure tours.
- Creation of an understanding of the ecotourism market.
- Local communities begin to question allocation of resources

Slide 8

Conflict Scenario

- Over harvesting
- Overgrazing
- Inappropriate farming techniques leading to constant clearing
- Illegal hunting
- Poorer community members marginalized
- Tension between communities and KWS - threats of eviction

Slide 9

Consensus Scenario

- Sustainable harvesting
- Pasture management
- Sustainable agriculture stabilises land use patterns.
- Poorer community members uplifted by participation in CBOs
- KWS in regular discussion with community organisations on "living with wildlife"

Partnership Model for Ecotourism development

Slide 10

- Building a sovereign institution to oversee community-private investor negotiations
- Clear monitoring of distribution of benefits in relation to community development plans
- Open financial management

Partnership Model for Ecotourism development (cont.)

Slide 11

- Additional technology support for specialised ecotourism activities
- Resource access arrangements
- Funding for management of the conservation area
- Funding arrangements for visitor sites and ecotourism aspects

Spin Offs

Slide 12

- Transparency of Private Investor
- KWS Engagement
- Land Demarcation
- Leadership Changes
- Community meetings on Wildlife/Ecotourism

Slide 13

Leveraging Follow-Up?

- UNDP Cross Border Programme : Alternative Livelihoods.
- Local Communities still require support in building pro-poor local institutions to manage local resources, mediation etc

R7408 and R7150 with PD099 –

Questions (Q) and Answers (A)

Q: How do we capture the catalytic outcomes? The spin-offs of participation are not codified within the outputs and indicators of a project logframe.

A: Track community based indicators for poverty amendment? But overload is a difficulty.

Q: *(A comment)* A number of presentations have mentioned 'sustainability'. Taken in a broad context we seem to have been talking of policies, institutions and processes. Participation seems to provide a means to an end, strengthening and supporting various elements. We then seem to shift to environmental or NR sustainability. Mechanisms to capture external costs do not exist in many situations. If there is no livelihood/financial gain from an environmental sustainability action, should we be imposing these costs on the poor?

Q: *(A comment)* A simplistic analysis of poverty using, for example, income level can identify a situation where landless people earn more than landholding families. And yet concepts of rural poverty as associated with landlessness. Thus poverty indicators have to be carefully identified and some well established concepts will need to be re-defined.

Q: *(A comment)* Adding to the above comment of defining the poor – how do we do it? Who are they? In many cases, received wisdom no longer holds. E.g. in the PUI the landless may not be poor. We need new indicators.

Finding ways to put together sets of diffuse information. If we recognise we need quantitative and qualitative information, participation is not so participatory. Information from and for different groups of people. E.g. community government services. How do we manage to put these things together in a meaningful way for research objectives?

2. WORKSHOP SESSION 2: Arrangements for Working Groups for discussion of questions (a) to (f)

After lunch on Day 1, three working groups were formed, each of 7-8 persons (refer Annex B). It was agreed that the eight questions that were listed in the programme, as a guideline for Session 2 discussions, were relevant and could be the basis for Working Group discussions. Accordingly, it was agreed that each working group would cover two questions, giving a total coverage of six questions. The remaining two questions would be taken in the plenary discussions of Session 4, after the presentation of the three working group reports.

In context of what had been presented on participation in the project-based talks of Session 1, the pairs of questions assigned to the three working groups were as follows:

GROUP 1 – Session 2 questions (a) and (d):

What similarities and differences were noted between projects and why?

Were there certain points made that stood out as strikingly different from, or strongly confirming, 'accepted wisdom'?

GROUP 2 – Session 2 questions (b) and (e):

What gaps, if any, were evident and why?

Was it apparent that a participatory process needs to contain certain features for it to be sustainable and pro-poor (for NRM)?

GROUP 3 – Session 2 questions (c) and (f):

Were there certain features that appeared to be specifically related to the context of pro-poor NRM?

How did the participatory processes and methods enable the poor to discuss issues in NRM?

These pairs of questions were discussed on the afternoon of Day 1 and each working group prepared their reports, in readiness for their presentations in the concluding workshop session (Session 4) on Day 2.

3. WORKSHOP SESSION 4: WORKING GROUP REPORTS

3.1 Working Group 1 – Similarities and differences, and new knowledge?

Slide 1

Similarities

- All projects seemed to be concerned with learning about the process of participation - rather than just the use of participation for research
- …how it was initiated and engendered and how it evolved, for instance
- and projects were concerned with the role of participation in change
- .i.e. new relations, practice and development
- Information was key in all projects
- No presentation of data, but a concern for reporting and monitoring in the future
- Knowledge generation was not just scientific but related to the use of new knowledge by local people themselves

Slide 2

Differences

There were differences in entry points and approach

- Was the project aligned to existing projects or programmes or independent?
- Was the approach "unassuming" (R7150?) or "spectacular" (consensus building in R7562?)? For instance, delicate reconnaissance versus promise and incentive of physical and visible benefits
- In summary, the required motivation, trust and confidence was achieved with a variety of approaches
- Expectations of researchers differed and so the "quality" (character, not appropriateness) of processes reflected desired outcomes i.e., the development of social capital versus dialogue on alternative wildlife management

Slide 3

Confirming or challenging accepted wisdom

Some members of our group felt the following concepts were novel and other felt they confirmed their understanding…!

- The social context and definition of poverty can be counter-intuitive (e.g., poverty of herdsmen with 100 head of stock and land relative to landless but employed people)
- Small (relative to development programmes) NRSP projects might understand better institutional constraints, by-pass them or avoid them. Ground-level contact might be better for forming working relations and resolving these problems
- Participation is not the desired outcome - development is! The poor's interpretation of good processes may differ from ours (not attendance at workshops but influence or voice, perhaps?)

Working Group 1 – Similarities and differences, and new knowledge?

Questions (Q) and Answers (A)

Q: (Refer Slide 2). Unassuming verses spectacular approach is a pragmatic contrast.

A: Yes, but it is not as clear cut as may appear and there is a need to look at linkages between differing approaches. In addition, even though we are conducting research, we are not just experimenting; we want the approaches that are applied, to work. This is a high priority objective. But research is still needed. A related issue is that the ethics of this process need to be considered.

Q: Unassuming v spectacular? Is this a model to do with an NGO v researcher approach? The consensus building research was linked with NGO's, but did the lead intellectual input come from researchers? NGO's are good at tackling a less pressing issue in order, in due course, to come round to what was the intended action/target. Such considerations argue strongly for partnerships?

A: That 'model' is actually slightly unfair to the research undertaken on consensus building. NGO partners are essential for reaching deeper into society.

Q: Does the timeframe of research affect entry point and the central focus of participation?

A: Yes, the time frame is very important. However, there are dangers with this if NGO's have set preferences. In general terms, can observe that projects have different approaches and their entry points differ.

3.2 Working Group 2 – Gaps? Features of sustainable pro-poor participatory processes (for NRM)?

Slide 1

What gaps and why?

- **Not all research has to be participatory – what are the objectives behind participatory methods**
- **Costs of participation - who is benefiting? Are there differences between formal or flexible models**
- **Limits to engaging external players - 1° and 2° - who defines and why?**
- **Problem focus or open agenda approach? Donor expectations.**

Slide 2

What gaps and why? (cont.)

- **How to manage participation with collaborating institutions who have different mandates**
- **MANAGEMENT of NR rather than service/NR provision**
- **Modes of participation relating to NR property regime**
- **Pro-poor outcomes - Who gets included or excluded, when and how**
- **Ethical issues need explicit discussion e.g. in research design, implementation processes, objective focus and post project support**

Slide 3

Features for sustainable & pro-poor NRM

- Embedding participatory process in local institutions
- Contextual understanding of the interests of local and external actors and different groups of the poor
- Resource commitments internal and/or external – discussion and clarity required on the issue of incentives
- Managing the process around differing objectives which may or may not be NRM related
- Using tools and techniques which are 'poor friendly'
- Management within NRM is this linked to M&E or PM&E

Working Group 2 – Gaps? Features of sustainable pro-poor participatory processes (for NRM)?

Questions (Q) and Answers (A)

Q: *(A comment)* – It often seems that 'management' is the missing element (gap) in NRM! Pulling through the research results and 'lessons' from management is a gap. Much of the emphasis is on service provision. E.g. de-silting, provision of crop seeds, tree saplings, setting up groups, convening workshops. This is an issue.

Q: Is this apparent focus on access and services rather than management arising from the earlier emphasis in participation on management. As will be reported for Group 3, we found that some of the projects that had CPR/landscape management targets began with addressing PPR/individualistic entry points (e.g., as was stressed by R7856).

A: Yes, this is the issue. Access and services are needed but actually, in respect of NRM, the services and information that are demanded are 'quick fixes' that can build confidence for tackling the more complex area of management for sustainability of NR and livelihoods based on these.

Q: *(A comment)* – If you disaggregate completely (in research or action), you have a number of case studies that together do not make much sense. If you generalise too much from case studies, you lose many things of value and have a 'silver bullet' –that is not very useful. The point of balance varies from across situations and communities. The challenge is to find it, after agreeing on what we mean by 'balance'.

Q: *(A comment)* – Institutionalising participation will not necessarily lead to changing behaviours within the institution. One such example is Agritex Zimbabwe, where agricultural staff underwent training in participation and empowerment to understand why communities must have a voice. Wider issues are coming in here.

- What is Agritex's knowledge base – seemed it was not flexible?
- Resources, incentives and accountability are all relevant
- Knowing about something is not necessarily helpful. It is better to know how to move ahead.

Q: *(A comment)* – On the issue of incentives, the rationale for these needs careful thinking through. Research projects often provide incentives for participation (for testing new ideas, approaches, for bearing risks etc) which have consequences for other collaborating institutions and subsequent projects.

3.3 Working Group 3 – Features of participation specific to NRM; how does participation assist the poor to have a voice in NRM?

Slide 1

On-the-ground situation re NRM

- Natural resource management (NRM) is not the first thing that comes into people's mind. Other things come first, e.g., *income, health, schooling*
- Natural resource problems may be recognised (I.e., expressed as a problem), but intervention (I.e., the expression of demand) is not for that
- Shorter-term benefits (and may be different for different stakeholders – male, female etc) are sought e.g., crop varieties, near term ways to generate income
- Shorter-term benefits may or may not be natural resource related and if they are, they address PPR more than CPR/or collective action. Some expressed short term concerns can bridge into longer term useful NRM interventions e.g., *Striga* control measures

Slide 2

'On-the-ground' continued

- If a lot of awareness raising has occurred, e.g., through NGOs, GOs, watershed, media, then there may be willingness for collective action (can be regarded as extremely facilitated mobilisation)
- We can see situations where awareness raising, information input and dialogue do result in collective action without the short term (PPR) 'fix'. E.g., water management on RP5, tank de-silting, Kenya agropastoralists

Slide 3

Concept of tactical features of participation for NRM

Scale of problem	Main setting	Model for participation process: Stage 1	Stage 2	Stage 3
Landscape e.g., eroded hillsides	Private property resources (PPRs) e.g., SW Uganda	Attend to articulated short term needs thru' short term interventions	Dialogue (around NRM)	Long term NRM interventions
Landscape	Common pool resources (CPRs) e.g., Bangladesh	Either: Short term focused on limited PPRs	Dialogue	Long term CPR-focused NRM
		Or: Known (community recognised) CPR issue	Dialogue	Short and long term NRM interventions
Localised e.g., a village community, a canal distributory	CPR-PPR interactions apply e.g., semi-arid India; irrigated rice-wheat lands	Short term: Examples: Form SHGs around non-NRM issues such as savings and credit Other? E.g., Use established village-based institutions for PPR-CPR NRM discussions	Dialogue within SHGs to encourage expression of demand for NRM – may concern PPR and/or CPR	Respond to NRM demand and work towards attention to wider CPR-PPR issues

This conceptual framework was developed to summarise the NRSP-project situations that are using and developing participatory methods as a necessary component of improved NRM

Stage 1 progresses to Stage 2 because project team has gained credibility with the intended beneficiaries and other stakeholders

Stage 2 commonly needs input of information to build human capital for expression of demand and decision-making

Slide 4

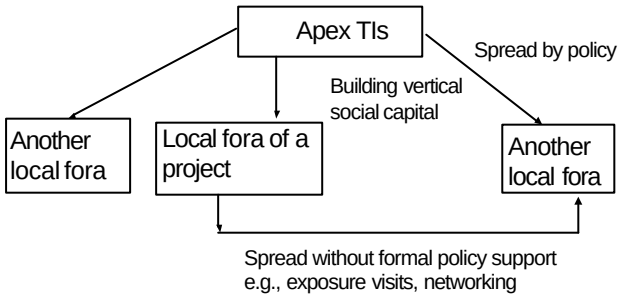
Enabling the poor to discuss issues in NRM

- Exchange visits are very beneficial
- People can only articulate demand to the limit of their experiences. Therefore there is a need to build 'knowledge' to strengthen articulation of demand
- Also need to work out how to service the expressed demand. E.g., demand for market information.
- Challenge is can we/how do you link up narrower expression of shorter-term demand with wider NRM needs such as: water management, RWH, INM etc?

Slide 5

Building vertical social capital

- Need for building vertical social capital (but not solely NRM specific)
- Big issue is 'Are the apex organisations interested in NRM? (They may be, but often are not)
- Is NRM in the apex TIs agenda?
- Broadly there are two models for replication at national (state, region, province) level – via apex TIs and/or by horizontal spread (see below)



Slide 6

Building vertical social capital (contd)

Are there more media tools, e.g., video that can be used for information input and as a dialogue tool with TIs and policy actors – role of citizens juries etc. These create debate on:

•Alternatives – people-based presentation of solutions and possibilities

•Folk theatres. Are they relevant to NRM? They are used for other issues

•Group structure is very important for bringing out the issues as assessed by different stakeholders

•Village level facilitators (VLFs) are playing a role in the projects (but need not be NRM specific e.g., SHGs in R7830/39).

•Watch-dogs 'to keep people up to their expressed input/commitments' can be useful (PU-R8090)

•Volunteer service also used

Slide 7

Building vertical social capital (contd)

- Note of caution: VLF's can begin to see themselves as part of the project (rather than part of a longer term community process). This shift in perception is something of an issue and needs careful management.
- In all of the above there is the issue of how do we codify learning?
- Very important aspect of processes and methods is the cost in terms of time (= cost) and resources.
- Should/can costs be internalised? Does this exclude the poorest?
- Because time is a factor in participation, this can exclude the poorer people.
- Also, it can be 'How you look' dress-wise that marginalises certain people from actually participating. Careful attention to group structure can overcome this problem.

Slide 8

Further Questions of Interest

How are we using participatory literature?

How do you codify learning?

How do you monitor processes?

- In research it appears that there are some big issues that could be drivers of linking up local concerns with national (and even global) agendas e.g., markets, market opportunities.
- Complexity of NRM settings makes it difficult to generalise (put another way, each project 'tells its own story')

Working Group 3 – Features of participation specific to NRM; how does participation assist the poor to have a voice in NRM?

Questions (Q) and Answers (A)

Q: *(A comment)* – On the issue of the 'conceptual framework', as presented by Working Group 3, there are strong linkages here to how research can pull out the lessons learnt. What is often missing in extracting these lessons is the 'why' questions. What was done is usually very well documented. The 'why' questions rely on qualitative data, which is often dismissed as anecdotal. We need to develop ways to capture and report on these more fuzzy 'variables'.

Q: Regarding tactics for using participation to address NRM – when people participate, the first thing that comes into their minds is not necessarily NRM. However, through interaction, there can be a shift that moves thinking towards NRM. If participants do not come with anything to add on NRM, then they will take whatever is given to them. This indicates the importance of feeding in information and stimulating people's thinking.

A: Yes, for those participating, there are other things in their livelihoods apart from NRM

Q: We can identify characteristics of different modes of participation that are a benefit/appropriate to certain projects. This then leads to assessing if there are similarities in entry points. Did Group 3 consider if the NR situations could be defined that resulted the various modes of participation of the various projects?

A: An issue is that you can characterise the NR base that needs to be improved in order to sustain your livelihood. But this really is superficial because we are not dealing with NR but with NR management. It is the complexity of management that is NRSP's area of research.

Q: For each part of the framework, what variables will you record? This comes back to the issue of not just reporting what happened, but why. The 'why' question is under-reported and often not asked, not least because 'why' questions are hard.

A: With respect to CBM/PAPD versus, for example, PAPD in PUI, the contexts are different (socio-economic, physical, environmental, etc), but it is dangerous to state that this ('such and such') worked in this situation because of certain factors (– there is no control!). Instead, what you can explain is the purpose, why (the rationale behind CBM), and reasons for the various features of the CBM. Generalisations, going beyond this, cannot be made.

A: *(A comment on the answer)* We agree that conceptual frameworks/processes are there. We could think of these as 'models'. What is actually is then in place has to be linked to physical, biophysical and socio-economic conditions of that area. We cannot generalise, but we can assess the strengths and weaknesses of what is in place relative to the conceptual thinking and report on this.

Q: *(A comment)* – We have examples of the institutionalising participation (i.e., creation of a sustainable arrangement) that is not focused on NRM (and does not need to address NRM to be sustainable). Through building knowledge, a wider expression of demand can be achieved and this may (or may not) embrace NRM.

Q: *(A comment)* – The poor may be excluded if they cannot give the time (or do not have suitable dress) to attend a meeting. Self-help groups work, as they are a meeting for own-self betterment. It is their affair. People feel comfortable within the group. If they want to meet, they will meet.

Q: 'Private' NRM-related self-help groups are of value internally, but what works when they work across groups horizontally v vertically? Poorer interest groups may lose voice, etc.

A: Entries of common interest and potential consensus could work. Favourable contexts and individuals at the right time, properly facilitated – it can work.

A: *(A comment on the answer)* – I agree, but how do they move beyond that? Problems and failures exist. Therefore, how do you move across groups with different powers? This can lead to unsolved problems. We cannot say definitely that this is the way forward. Taking just science forward is different to using the knowledge to improve livelihoods. In this respect, we are looking for a breakthrough.

Additional note submitted immediately after the Working Group presentation of Session 4

Few people would argue that self-help groups are not useful. SHGs serve a purpose that is important, even critical, to members and are usually self-sustaining. But, SHGs only solve or address a part of larger livelihood problems. They do provide opportunities.

The (Indian) watersheds, joint forest management and diverse micro-enterprise experiences, describe how SHGs could engage with external agencies and access external resources, or network or federate. There have also been experiments in using SHGs for dissemination of knowledge and information, creating awareness in health, education, women's rights, distribution of (food and other) aid and so on – but with very mixed results.

However, the lessons from this are invaluable. New programme/project designers would be unwise to ignore this experience in particular about how SHGs engage and transact with governments (local and other), scientists, NGOs, local elite and local people with power, but no legitimacy.

This has implications for:

a) How a science research agenda could be advanced with, through or without SHGs.

b) What changes (individual and institutional) do external agencies – scientific/academic institutions as well as NGOs – need to make it usefully contribute to and work with livelihoods issues through SHGs.

4. WORKSHOP SESSION 4: CONCLUDING PLENARY DISCUSSION

4.1 Introduction

The plenary discussion session addressed the following questions:

- Have we well documented evidence to support findings and insights on participation (for pro-poor NRM)?
- Have we made progress in, and/or what plans do we have for, advancing the lessons learnt from research on participation into a developmental scale of working for improved pro-poor NRM. What products and actions are needed to position the work for scaling up?

These two questions were questions (g) and (h) of the Session 2 schedule (refer Workshop Programme – Annex A). In scope, they built on the topics of the Working Group Reports (refer Section 2 and Sections 3.1 to 3.3). The discussions of these questions, as presented below (Sections 4.2 to 4.4) are developed from the flip chart notes and the notes of some participants, taken during the concluding session.

4.2 Have we well documented evidence to support findings and insights on participation (for pro-poor NRM)?

Group 2 assessed the gaps. Can these gaps be documented? Have projects addressed or do they plan to address the gaps? Is documentation of gaps a problem both within NRSP projects and within the wider literature? Are they important for confirming or adding to existing 'wisdom'?

Documenting the process in projects is needed but this then raises other issues. Why, and with whom do we wish to communicate?

We think we need to document the process of engagement and progress. What level of detail is needed? What is the balance between writing everything down and standing back and finding (and recording) what is really important?

Required records are different for different target groups e.g., research versus local institutions. The purpose of recording details should be questioned. There are important considerations around the volume and way of recording (data management). Why take records? Just for the sake of it? For whom? Over what period?

What do we do with these records? Apparently useful records are diaries, records of workshops and other significant events (and extracting learning from them).

Are they transferable or is it a local product for the team and for local collaborators? An additional consideration is that transferability cannot be assessed until data are available and their utility is assessed.

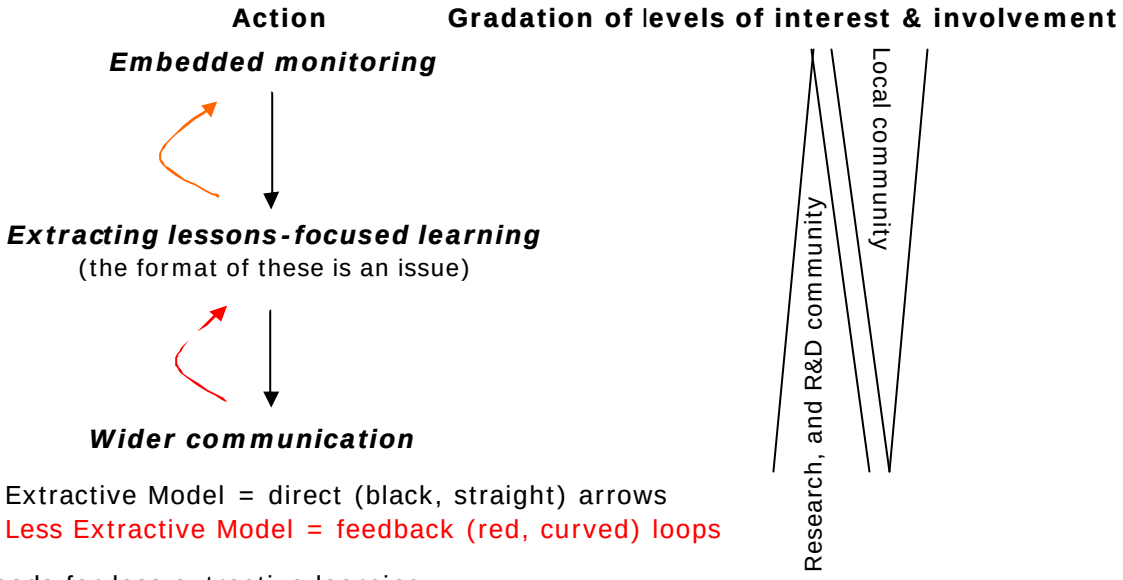
How a project learns rather than what is learnt is key. What new learning do we have? An example is the use of village level facilitators (VLFs) in Kumasi. This has attracted local interest. A key feature of this is the VLF–people interaction.

Documenting – what does it achieve? Probably have to accept that everyone has different sets of objectives for documentation, but important features are:

- It should meet the internal (project) need to analyse trends, identify mistakes, flag up successes, capture different perspectives.
- In order to navigate through data and documentation, we must define the objective
  - Preference is for lesson focused reporting
  - Explore and try to understand different stakeholder perspectives and in what these perspectives are rooted (there is no absolute truth)
  - Blank sheet is too post-modernist. Need a structure e.g., R8103 matrix of questions (refer Section 1.7B, Slide 8).

- Recognise that documentation is still a challenge and a big issue is for whom? E.g., the community monitoring group of R7856 (refer Section 1.2). If documentation becomes structured, who is it for and for what? For the project team and/or community use?
- Monitoring and documentation are not the same thing, but monitoring is one way of arriving at documentation.

The following model captured the main aspects of the debate



Extractive Model = direct (black, straight) arrows
Less Extractive Model = feedback (red, curved) loops

Methods for less extractive learning:

- People's monitoring needs do not necessarily equate with 'project' monitoring needs. This arises because people participate for different reasons. People's monitoring needs are linked to a project, but there is no expectation that they will be the same as the project team's needs.
- Local views on what and how to monitor should be respected. Then the project adds more (to meet project needs). Need to achieve some congruence between what these parties monitor. This can reduce costs. The feedback on monitoring (loops) can refine what is monitored, who does it and how. This in turn is new learning on transaction costs.
- Issue of base-line? There were divergent views. Some thought that the base-line was needed to establish a benchmark from which to measure change and it could provide a major guideline on what to monitor. Others were of the view that a bench mark was not an absolute requirement. There are opportunities for 'recall' of the pre-project situation. Data can generated around the situations of 'with and without' and before versus after'.
- Ownership of data/documentation. PUI-Kumasi saw possibilities for developing a community-owned document (on action planning/use of VLFs) through community production of the document. Are there other similar opportunities e.g., PD114/ex R7562 on the CBM/PAPD in Bangladesh (refer Section 1.7A)?
- Regarding documentation and publications – a reflection on what NRSP enabled, based on the experience in R7150 & PD099 (refer Section 1.8B). The research enabled ITDG to challenge prevailing policy discourse (on conservation). It provided evidence that: it was necessary/advantageous to build livelihoods into conservation; conservation policy revision was needed; overall, NGO research gives credibility in the development dialogue arena. Would like to achieve same in Bangladesh (R8103 – refer Section 1.7B)

4.3 Advancing the lessons learnt from research on participation into a developmental scale of working

Have we made progress in, and/or what plans do we have for, advancing the lessons learnt from research on participation into a developmental scale of working for improved pro-poor NRM

Links with issues raised in Section 4.2. It was agreed that key issues are:

- Communication for whom?
- In what form?
- And when?

What opportunities do we need to pursue to have timely delivery to policy actors? Catching policy actors can be problematic. Some have severe limitations on the time that they will give to dialogue – five minutes and no more in some instances!

It appears from the portfolio of projects considered at this workshop (and relative to the vast literature on the use of participation) that NRSP's comparative advantage is biased to local situations. We have accumulated rich experiences, where different things have worked in different circumstances. Could the lessons be drawn together? Moving beyond case studies – would synthesis be useful? (But the form in which it is presented would be critical).

It might possible to supplement documentation with other actions e.g., enable villagers to meet policy makers.

However, we must have in mind how to embed this localised advantage within wider NRM developmental policy debates. There is a debate to which we can contribute internationally. The international arena needs well documented practical evidence of success stories (e.g., the CG Centres want well documented examples of how (to institutionalise the use of participatory methods and processes) and the outcomes).

- Forms in which info/learning is delivered must be suitable/appropriate for the target groups e.g., NARS Directors
- When is a vital consideration. Experience shows that you need to have dialogue with policy-makers even before you start the research. Their engagement must happen early on.
- Also take these actors to the field to 'see' what is going on e.g., ICLARM Director. However, be aware that you cannot see/show the process in a single visit. Brief visits can lead to mis-interpretation.
- Preference is for targeted information – simple, easy, brief (combined with salesmanship).

What products and actions are needed to position the work for scaling up?

Referring back to the point (above) on what the international arena needs, with key words of outcome, impact and success, this is the demand side from international policy actors. However, an actual NRM outcome may not be positive even if participation aspects are positive. We need to be aware that 'the news' may not be a simple success story. Does the international arena recognise this?

Turnover in policy actors is an issue for scaling up. It creates discontinuity. Also, although responsibility for policy change may reside at a very senior level, policy implementers are located at a meso-level. They receive policy guidelines/dictates from the senior level, but much of the responsibility for implementation/regulation resides with them. Policy-relevant research findings must reach them.

Who handles this dialogue and advocacy? Experience shows that researchers can handle the policy arena if they can meet the communication requirements e.g., Bangladesh, Kenya, Tanzania.

The experience of what actions led to the explicit inclusion of rainwater harvesting (RWH) in the national agricultural development policy in Tanzania was briefly reported.

There were various facets to this – a range of activities (e.g., demonstrations, training across a range of levels, contact with a wide range of stakeholders, multiple donors); transacting policy changes that were within the sphere of experience of the RWH research team e.g., formalising the inclusion RWH teaching in SUA's curriculum at BSc and MSc levels; frequent interaction with target district planners and meeting some of their information demands; innovative actions e.g., advertising a training course. But the time frame was quite long – ten years research and policy-relevant actions for at least four years.

An 'outsider' (in this case, a close observer of the RWH projects) reported the innovative tactic of advertising the training course. It was pointed out that an 'outsider' may bring new perspectives on project actions. In this case, the 'outsider' reacted to/saw the scaling up/sustainability implications of advertising and charging for RWH training. This was far better than using available funds for providing a training course for a smaller number of selected trainees.

The need for a better understanding of meso-level policy mediation was recognised since this meso-level is the key to policy implementation. Thus, at a project level, it is necessary to have a plan for engaging policy actors at a range of levels.

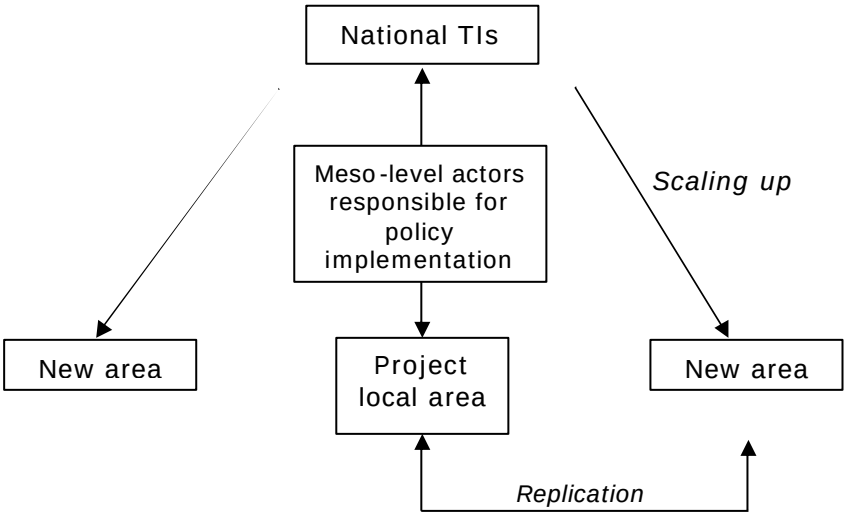
Customising information for targeted stakeholders and actors is needed. This includes opportunistic communication, e.g.:

- RWH/watershed management in time of drought – provided relevant policy information (experience in India)
- When national planning is taking place – aim for delivery of research findings (a target for ITDG in Bangladesh)

In addition, while the underlying concepts for enabling policy level advocacy may be similar, the local context and actions relevant to local situations will vary.

For seizing opportunities, the concept of 'radar scanning' was proposed. This scan must operate at more than just a GO level. Other levels (frequencies) are needed that relate to a wider institutional constituency e.g., for the corporate sector.

Can we distinguish between scaling-up and replication (also refer Section 3.3, slide 5)? The following definitions were proposed:



There are examples of where developmental change through uptake of research findings has been achieved through replication. Arguably, scaling up (i.e., integration into formal senior policy processes) is more sustainable, but the meso-policy actors are key to this.

Other essentials for scaling up: allies (supportive actors) are key. High level support can cut corners. There is a need for opportunism (right time, right people, right place).

The diversity of expectations (e.g., donors, national actors, grassroots) must be coped with/accommodated in a scaling up plan.

4.5 Concluding remarks

No attempt was made to re-visit the working group reports and plenary discussion notes, to pick out recurring findings, concerns and needed areas for future attention and emphasis. There was a strong sense that a lot useful ground had been covered and that certain critical concerns had been identified and discussed. The workshop concluded with the NRSP-PM requesting participants to provide feedback individually on what their views were on key areas for follow up, aiming only for one or two priority items.

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The text below is a reflection on what appear to be the main findings and issues that emerged from the Workshop, based mainly on what came across as recurring topics during compilation of the proceedings. Readers may notice other topics or disagree with those mentioned below. In this way, this list could be used as a point of departure for the feedback that was requested at the conclusion of the workshop. It certainly is not intended as a final word on the topic of the Workshop.

Main findings/issues:

1. Robust documentation (well structured and accessible) on findings generated around the development and use of participatory methods and processes in relation to strategies for pro-poor NRM is needed.

2. Recognising this need is intricately linked with the issue/question of which target audience(s) this documentation is intended to reach and for what purpose?

3. A priority for NRSP is to focus on documentation for localised communication. In this regard, communication with meso-level policy actors was recognised as an important need as they are key players in scaling up.

4. But even with this focus, there are other aspects to consider. Well documented case studies (which may not entirely be success stories) can make a very useful contribution to international dialogue on how participation can help to achieve positive pro-poor change in NRM at a developmental scale.

5. Structured documentation should not solely be an extractive research activity. Projects see the need for beneficiaries to have ways of assessing change and these measures (indicators) must be relevant to them. In this way, documentation operates at several levels. It is possible to integrate these levels, but to do so needs commitment to feedback/communication across a range of stakeholders.

6. It cannot be assumed that the reasons why beneficiaries participate are because they see value in participation *per se*. The reasons are various and may require careful study to arrive at some understanding of what is involved for different participants (men, women, young, old etc). In this regard, answering these 'why' questions, rather than only recording what occurred, is important.

7. Reaching/including/hearing the poor – this topic was covered from several angles. It was recognised that use of participation gives no guarantee of being pro-poor if steps/actions are not taken to reach, include and hear the poor.

8. The time frames for transacting pro-poor changes in NRM strategies are relatively long. Attention to shorter term expressed needs that may be indirectly or not strongly linked with improved NRM can be an entry point from which to lead into NRM. But there may also be an NRM issue (e.g., in CPRs) that is well recognised on which agreement on nearer term action can be reached. There are no hard rules, but 'conceptual pathways' for how participation can link with transacting change in NRM can be proposed.

ANNEXES

ANNEX A

Natural Resources Systems Programme

Workshop Programme

NRSP's strategic experience of participatory methods and processes for the improvement of natural resources management

Workshop: 7-8 September 2002, Venue – G03, School for Applied Statistics, Harry Pitt Building, University of Reading, Whiteknights Park, Reading

Aims of the Workshop

The workshop's aims are:

1. To share project-based experiences on participatory methods and processes. This may include experiences of problem areas in participatory work, including, for example, mistakes/actions that did not work and what was learnt from them.
2. To discuss what findings we have on the main features of participation that can enable the poor to discuss and have a voice in the design and implementation of NRM strategies that are useful to their livelihoods. The context here is that NRSP's research has aimed to develop and/or test methods and processes that are shown to be both appropriate and sustainable for use by development practitioners (GO, NGO, PVO, CBO etc). Our research investigates the use of participation for planning and transacting change in NRM (rather than using participation as part of a research methodology).
3. To assess requirements for scaling up. This will cover such things as what media products and communication methods are needed to engage relevant target groups/institutions and actors; how to track changes so as to have evidence of the success of a process rather than only the recommendation that a process is efficacious. To share the progress made in this area in the different projects and also to identify problem areas and how these might be overcome.
4. Relative to the considerable published literature, to assess what distinctive contribution NRSP's research is making – for whom, and how? In this context, to assess whether there are some worthwhile follow up activities that could cross cut projects.

Workshop structure

Session 1 (half day, Day 1). Programme and project presentations. We will start with presentations on what participation 'looks like' in the projects represented at the workshop followed by general discussion of what has been reported. Whilst we want a project to feel free to report their research in their own way, and we do realise that we are NOT dealing with a portfolio where 'one-size fits all', we kindly request that presenters should give attention to the following points:

- What is the context of the use of, and research on, participation with respect both to livelihoods of particular target groups and NRM issues?
- How did you ensure participation of the poor?
- How have you used participation to enable the poor to discuss and take decisions on NRM issues as they relate to their livelihoods (and wider environmental concerns)?
- In what way have you documented your methods and processes and the learning that emerges around these? What do your data look like – qualitative, quantitative, fuzzy etc?
- How are you tracking progress and change as a consequence of participation – is it a project team activity or is it undertaken by the target groups?
- How can participatory processes and methods that engage with the poor be integrated into the institutions responsible for development practice?
- Please strictly keep to your 10 minute time allocation – thanks.

Session 2 (first half of afternoon, Day 1). In this session, we aim to identify the main topics for discussion in the Working Groups. The main guideline for the identification of topics will be points 2 and 3 above. These are developed in a little more detail in the workshop schedule on the following page.

Session 3 (second half of afternoon, Day 1 and first half of morning, Day 2) Working Group discussions. We will form three Working Groups with 7-8 persons per Group. There are indications that there will be more topics than time, so probably each group will cover only two or at most 3 topics.

Session 4 (second half of morning, Day 2) We aim to spend two hours on the Working Group reports, and the discussion of main findings and implications for future work.

ANNEX A

Workshop schedule

Time	Activity	Person
7 September 2002: Workshop Day 1		
0900-1000	Registration	R Radford
1000-1300	**Session 1 – Plenary** **Chairperson**: Pat Norrish **Rapporteur**: R Radford	
1000-1010	Welcome and introductions	FM Quin
	***Presentations (10 mins plus 5 mins for points of clarification)**:*	
1010-1025	Programme overview (in the context of this workshop)	FM Quin
1025-1040	R7856 – Strengthening social capital for NRM (in SW Uganda)	P Sanginga
1040-1055	R7830/39 – Improving productivity and livelihoods in Bihar and eastern Uttar Pradesh, India	MS Ashok
1055-1110	R7559 – Coastal livelihoods in the Caribbean	Y Renard
1110-1130	**Refreshments**	
1130-1145	R7959/R8084 – Participatory action plan development and implementation in Hubli-Dharwad, Karnataka, India	B Ambrose-Oji & P Bhat
1145-1200	R7995/R8090 – Participatory action plan development and implementation in Kumasi, Ghana	K Ashong
1200-1215	R7562/R8103 – Consensus building for NRM strategies for common pool resources in the Bangladesh floodplain	R Lewins & B Peacocke
1215-1230	R7408, R7150/PD099 – Trade-off analysis for participatory coastal zone decision making in the Caribbean; sustainable livelihoods for agro-pastoralist communities adjacent to game parks in semi-arid Kenya	FM Quin & S Coupe
1230-1300	Discussion This discussion session will enable participants to make observations, raise queries and point out emerging issues	Rapporteurs: R Radford with support from NRSP-SG
1300-1430	**Lunch**	
1430-1735	**Session 2 – Plenary** **Chairperson**: JL Gaunt (to open the session, but thereafter can contribute from the floor)	
1430-1530	Discussion and distillation of the main points emerging from Session 1. A way in which we could tackle this is to review what emerged from the pre-lunch discussion and then, with respect to what we have heard about participation in the NRSP projects, use the following list of questions to run over Session 1: a) What similarities and differences were noted between projects and why? b) What gaps, if any, were evident and why? c) Were there certain features that appeared to be specifically related to the context of pro-poor NRM? d) Were there certain points made that stood out as strikingly different from, or strongly confirming, 'accepted wisdom'? e) Was it apparent that a participatory process needs to contain certain features for it to be sustainable and pro-poor (for NRM)? f) Specifically, how did the participatory processes and methods enable the poor to discuss issues in NRM? g) Have we well documented evidence to support findings and insights on participation (for pro-poor NRM)? h) Have we made progress in, and/or what plans do we have for, advancing the lessons learnt from research on participation into a developmental scale of working for improved pro-poor NRM. What products and actions are needed to position the work for scaling up? *The facilitators will aim to draw out the various views with just enough detail for the topic to be ready to go forward for discussion in Working Groups.*	Pat Norrish & FM Quin
1530-1540	Arrangements for Working Groups	FM Quin

ANNEX A

Time	Activity	Person
1540-1600	**Refreshments**	
	Session 3	
1600-1730	Working Group meetings	WG nominees
1730-1735	Wrap up of Day 1	FM Quin

7 September 2002. Workshop Day 1 – evening	
1915	Walk to restaurant at Christchurch Green (about 15 mins)
1945	Dinner at the Sizzling Wok

8 September 2002: Workshop Day 2 (half day)		
0915-1100	**Session 3 continued**	
0915-1030	Working Groups meetings	WG nominees
1030-1100	**Refreshments available and preparation of Working Group reports**	
1100-1230	**Session 4 – Plenary** **Working Group presentations – 15 mins plus 10 mins discussion**	
1100-1125	Working Group 1	WG nominee
1125-1150	Working Group 2	WG nominee
1150-1215	Working Group 3	WG nominee
1215-1230	Assessment of main findings	NRSP-SG
1230-1255	Forward plans? Who? What? Where? When?	NRSP-SG
1255-1300	Concluding remarks	FM Quin

ANNEX B

NRSP 'Participation' Workshop – Participants Address List

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NRSP 'Participation' Workshop – Useful Web addresses

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8. Institute of Development Studies, University of Sussex 'Participation' Homepage:

http://www.ids.ac.uk/IDS/particip/index.html

9. International Institute for Environment and Development 'Sustainable Agriculture and Rural Livelihoods' Homepage

http://www.iied.org/agri/index.html

10. Livelihoods Connect – creating sustainable livelihoods to eliminate poverty

http://www.livelihoods.org